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federal register

Privacy Act Issuances
1981 Compilation

NEW

Volume I

Systems of Records

Agency Rules

GS 4.107/2:

Privacy Act Issuances
1981 Compilation

Volume I

Systems of Records
Agency Rules

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National Archives and Records Service
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PRIVACY ACT ISSUANCES, 1981 COMPILATION VOLUME I

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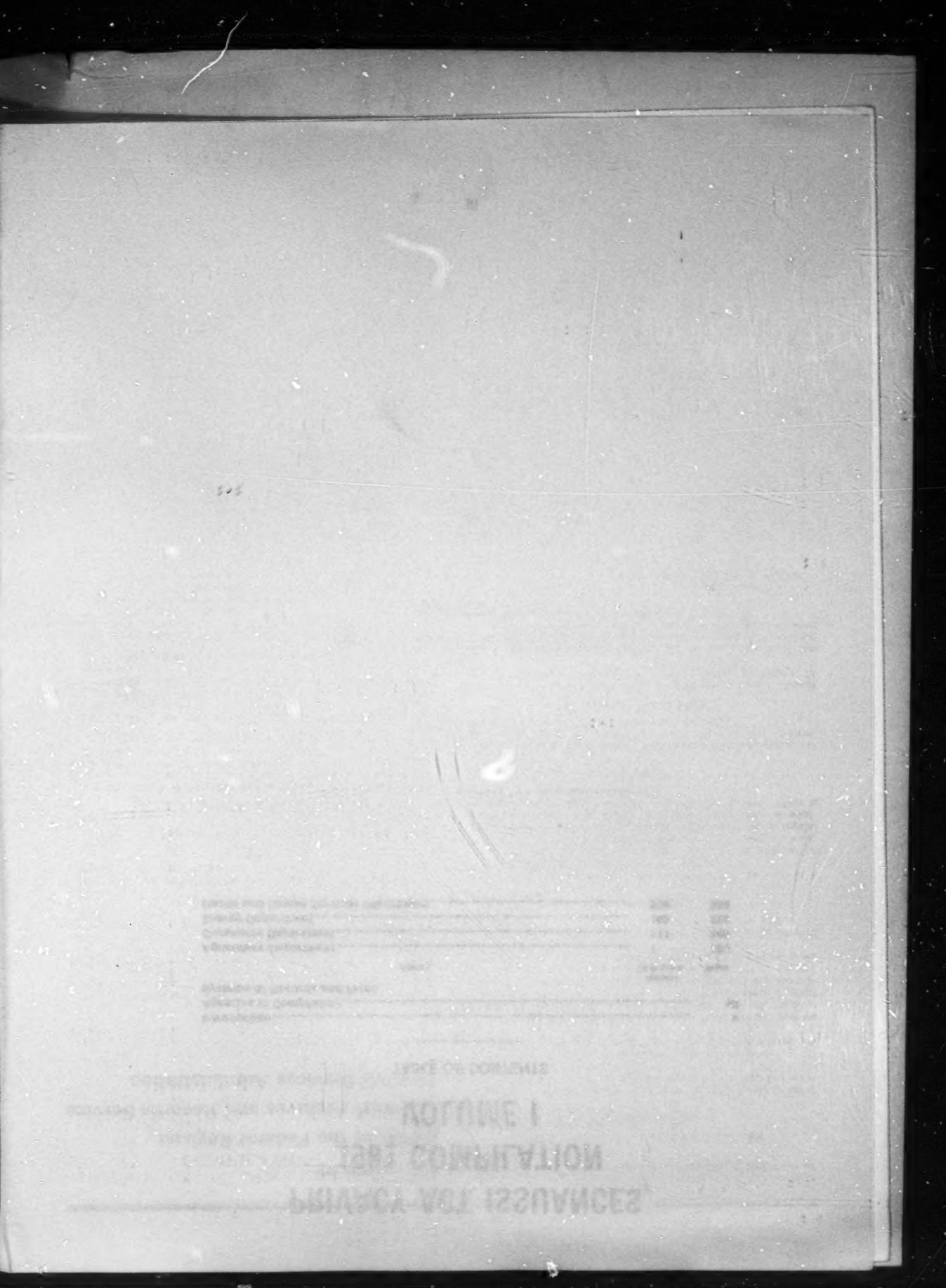

PRIVACY ACT ISSUANCES, 1981 COMPILATION

EXPLANATION

This compilation contains:

—descriptions of systems of records maintained on individuals by Federal agencies which were published in the FEDERAL REGISTER as required by the Privacy Act of 1974;

—rules of each agency which set out the procedures that agencies will follow in helping individuals who request information about their records.

This compilation is divided in to five volumes. A table on p.vii lists the agencies in Volumes I–V of the Compilation.

AUTHORITY

This is the sixth annual compilation of Privacy Act issuances. It is published in compliance with the requirements of the Privacy Act of 1974 (5 U.S.C. 552a). The Act requires the Office of the Federal Register (OFR) to annually compile and publish the rules and notices of systems of records that have been issued by Federal agencies subject to the Act. The Act also requires each Federal agency to annually publish in the FEDERAL REGISTER the notice of its systems of records.

CUTOFF DATES

NOTICES OF SYSTEMS OF RECORDS have been compiled as of December 31, 1981, unless otherwise noted.

RULES

RULES have been compiled as of December 31, 1981, unless otherwise noted.

TITLE AND FORM OF CITATION

The official title of this publication is "Privacy Act Issuances, 1981 Compilation, Volume I". To cite a system of records or rule in this publication, the form of citation would be:

Privacy Act Issuances, 1981 Comp., Volume I, p....

HOW TO USE THIS COMPILATION

Identify the system you think may contain information about you and the agency that maintains those records.

Read the agency's regulations following its systems of records to determine the procedures you must follow to obtain information from that agency.

INFORMATION YOU CANNOT GET

There are limitations to the kind of information you can get. The agency may refuse to let you see information that—

—Relates to national security;

—Could reveal a confidential source; or

—Could be used to give people an unfair advantage on a government examination.

Generally, an agency's system notices (description of its systems of records) and its regulations will describe that agency's limitations on release of information.

SOME GENERAL REQUIREMENTS

How To Make a Request

In most cases you can inquire in person or by mail. It will be easier for the agency to help you, and your request will be handled more quickly, if you follow these procedures:

1. Give your full name and address, and sign your request.
2. Specify the system(s) of records you believe contain information about you.
3. Provide the relevant information required by the system you are interested in. For example, if you are inquiring about any contract you have had with the Government (loan application, contract, grant application, etc.), give the date and subject matter, and any identifying numbers that appear on documents you received.
4. Address your request to the official or person and address given in the system entry.
5. Print the words "PRIVACY ACT REQUEST" on the front of the envelope.

Proof of Identity

The agency will need some proof of your identity such as—

1. A document with your full name and address:
2. A document that has your signature and/or your photograph such as a passport, medicare card, or unemployment insurance book.
3. Any other identification specified in the system entry or regulations. If your request is by mail, you should include copies of whatever documents the agency requires to prove your identity. There is a penalty for making false statements.

Fees

The agency may charge you a fee for a copy of your records, but they may not charge you for the time and expense of locating them. The agency's rules usually state how much the fee is.

GENERAL INQUIRIES

This volume was edited by John S. Ashlin and Ruth E. Reedy under the direction of Martha B. Girard, assisted by Gladys Q. Ramey.

For further information concerning the technical aspects of this volume, call 202–523–5237. Written comments or suggestions should be addressed to the Director, Office of the Federal Register, National Archives and Records Service, Washington, D.C. 20408.

John E. Byrne,
Director, Office of the Federal Register.

GS4.107/a:P939/2/year

GS4.107

PRIVACY ACT ISSUANCES—1981 COMPILATION

The Office of the Federal Register has issued its 1981 Compilation of Privacy Act Issuances as required by 5 U.S.C. 552a(f). The 1981 Compilation is in five volumes and listed below are the agencies in each volume.

VOLUME I

Agriculture Department
Commerce Department
Energy Department
Health and Human Services Department

VOLUME II

Education Department
Housing and Urban Development Department
Interior Department
Justice Department
Labor Department
State Department
Transportation Department
Treasury Department

VOLUME III

Defense Department

VOLUME IV

ACTION
Actuaries, Joint Board for the Enrollment
Administrative Conference of the U.S.
Advisory Committee on Federal Pay
Advisory Commission on Intergovernmental Relations
Agency for International Development
American Battle Monuments Commission
Arms Control and Disarmament Agency
Arts and Humanities, National Foundation
Board for International Broadcasting
Central Intelligence Agency
Civil Aeronautics Board
Civil Rights Commission
Committee for the Purchase from Blind and Other Severely Handicapped
Commodity Futures Trading Commission
Community Services Administration
Consumer Product Safety Commission
Copyright Office, Library of Congress
Copyright Tribunal Office
Environmental Protection Agency
Equal Employment Opportunity Commission
Executive Office of the President, Administration Office
Export-Import Bank of the U.S.
Farm Credit Administration
Federal Communications Commission
Federal Deposit Insurance Corporation
Federal Election Commission
Federal Emergency Management Agency
Federal Home Loan Bank Board
Federal Home Loan Mortgage Corporation
Federal Labor Relations Authority and Federal Service Impasses Panel
Federal Maritime Commission
Federal Mediation and Conciliation Service
Federal Reserve System
Federal Trade Commission
Fine Arts Commission
Foreign Claims Settlement Commission

General Services Administration
Harry S Truman Scholarship Foundation
Inter-American Foundation
International Boundary and Water Commission-U.S. and Mexico
International Communication Agency
International Trade Commission
Interstate Commerce Commission
Japan-U.S. Economic Relations Group
Japan-U.S. Friendship Commission
Libraries and Information Science, National Commission
Management and Budget Office
Marine Mammal Commission
Merit Systems Protection Board
National Aeronautics and Space Administration
National Capital Planning Commission
National Credit Union Administration
National Labor Relations Board
National Science Foundation
National Security Council
National Transportation Safety Board
Navajo and Hopi Indian Relocation Commission
Nuclear Regulatory Commission
Nuclear Safety Oversight Committee
Occupational Safety and Health Review Commission
Overseas Private Investment Corporation
Panama Canal Commission
Pennsylvania Avenue Development Corporation
Pension Benefit Guaranty Corporation
Personnel Management Office
Postal Rate Commission
Postal Service
President's Commission for the Study of Ethical Problems in Medicine and Biomedical and Behavioral Research
President's Commission on Executive Exchange
President's Commission on Pension Policy
President's Commission on White House Fellowships
Railroad Retirement Board
Securities and Exchange Commission
Selective Service System
Small Business Administration
Social Security, National Commission
Tennessee Valley Authority
Trade Representative, Office of the United States
U.S. Railway Association
Veterans Administration
Wage and Price Stability Council
Water Resources Council

DEPARTMENT OF AGRICULTURE

USDA/AMS—1

System name: Employment History Records for Licensed Nonfederal Employees, USDA/AMS

System location: Agricultural Marketing Service, USDA, 14th and Independence Avenue, Washington, D.C. 20250.

Categories of individuals covered by the system: Commodity Inspectors, Graders, Weighers, Classers, Collaborators, Licensed Plant Employees, Agents, Appointees, Samplers.

Categories of records in the system: This system consists of such information as applications for license, license files, bonding records, biographical data, periods of employment, performance ratings, commodities qualified to inspect, grader's powers of attorney, recommendations for reemployment, factors which affect or might affect desirability as an inspector, supervisory potential, declaration sheets, preference sheets, current, expired, and voided licenses, license examinations and score sheets, license renewal score sheets, miscellaneous notes and memoranda, e.g. transfers, cancellations, corrective action letters, letters of caution or warning, inspection/grading performance/productivity data, letters of suspension, indictment, complaint, proposals to revoke license, etc. Content and extent of these records vary by commodity, program and season.

Authority for maintenance of the system: 7 U.S.C. 51-65, 241-273, 451-469, 471-476, 491, 493-499, 499a-499s, 411-511q, 601 et seq, 1551-1611.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to states or other Federal agencies to determine verification of employment or length of service for retirement purposes; referral to Civil Service Commission for required records and reports; to Government Accounting Office for required records and reports to Department of Justice for required records and reports. Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, notebooks, and cardex files.

Retrievability: Records are indexed by name of licensee and/or license number.

Safeguards: Government office buildings, locked and unlocked file cabinets and locked offices.

Retention and disposal: Records maintained indefinitely or until separation or retirement or in accordance with prescribed retention schedule. They are destroyed in conformance with prescribed retention schedules. These records schedules have been implemented by Agricultural Marketing Service Instruction 270-1, Records Management Program.

System manager(s) and address: Each of the following Division Directors:

Cotton Division
Livestock, Poultry, Grain, and Seed Division
Tobacco Division
Transportation and Warehouse Division

Notification procedure: Any individual may request information concerning himself from this system from the Office of the Division Director having custody of his records at the system location.

Record access procedures: Any individual may obtain informtion as to the procedure for gaining access to a record in the system that pertains to him by submitting a request to the appropriate Division Director listed above.

Contesting record procedures: Any individual may obtain information as to the procedure for contesting a record in the system that pertains to him by submitting a request to the appropriate Division Director listed above.

Record source categories: Information in this System comes primarily from licensees, supervisors, with additional data provided by references and investigative personnel.

USDA/AMS—2

System name: Milk Market Administrators (MMA) Producer Payroll System, USDA/AMS.

System location: Milk Market Administrator's Offices at the following locations:

Arizona
Market Administrator
2617 North 24th Street
Phoenix, AZ 85008
Phone: 602 275-7641

Arkansas
Market Administrator
P.O. Box 4225
Asher Avenue Station
Little Rock, AR 72214
Phone: 501 663-6395

Colorado
Market Administrator
7 Parker Pl.
2600 S. Parker Rd.
Aurora, CO 80014
Phone: 303 837-2461

Florida
Market Administrator
P.O. Box 11368
Fort Launderdale, FL 33306
Phone: 305 565-2583

Georgia
Market Administrator
P.O. Box 49025
Atlanta, GA 30359
Phone: 404 455-6323

Illinois
Market Administrator
800 Roosevelt Road
Building A, Suite 200
Glen Ellya, IL 60137
Phone: 312 858-8400

Indiana
Market Administrator
P.O. Box 55527
Indianapolis, IN 46205
Phone: 317 269-6107

Kansas
Market Administrator
P.O. Box 4606
Overland Park, KS 66204
Phone: 913 648-1050

Kentucky
Market Administrator
P.O. Box 18030
Louisville, KY 40218
Phone: 502 499-0040

Louisiana
Market Administrator
P.O. Box 7250
Metairie, LA 70011
Phone: 504 837-9381

Massachusetts
Market Administrator
230 Congress Street, Room 403
Boston, MA 02110
Phone: 617 542-8636

Michigan
Market Administrator
2684 West Elevan Mile Road

Berkley, MI 48072
Phone: 313 548-1603

Minnesota
Market Administrator
4570 West 77th Street, Suite 210
Minneapolis, MN 55435
Phone: 612 831-5292

Missouri
Market Administrator
P.O. Box 1485
Maryland Heights, MO 63043
Phone: 314 567-4730

New York
Market Administrator
295 East 42nd Street
New York, NY 10017
Phone: 212 557-0343

Ohio
Market Administrator
P.O. Box 30128
Cleveland, OH 44130
Phone: 216 826-3220
Market Administrator
P.O. Box 29226
Columbus, OH 43229
Phone: 614 891-1851

Oklahoma
Market Administrator
P.O. Box 45563
Tulsa, OK 74145
Phone: 918 622-3411

Oregon
Market Administrator
P.O. Box 23606
Portland, OR 97223
Phone: 503 639-8806

Texas
Market Administrator
P.O. Box 29529
Dallas, TX 75229
Phone: 214 243-1504

Virginia
Market Administrator
P.O. Box 710
Alexandria, VA 22313
Phone: 703 549-7000

Categories of individuals covered by the system: Dairy farmers delivering producer milk to regulated handlers.

Categories of records in the system: This system consists of information pertaining to the quantities and value of milk delivered to regulated handlers by individual dairy farmers.

Authority for maintenance of the system: 7 U.S.C. 601 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual card files or automated disk or tape files.

Retrievability: Records are indexed by name of producer and/or by ID number.

Safeguards: Government office building, locked offices, locked files cabinets.

Retention and disposal: Records are maintained and destroyed in accordance with retention schedule number II NNA-1588 approved by the 84th Congress, first session, on July 13, 1955.

System manager(s) and address: Each Market Administrator at the address listed above.

Notification procedure: Any individual may request information about himself from the appropriate Market Administrator at the address listed above. The request should indicate the individual's name, address and type of information being sought.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the System which pertains to him by submitting a written request to the appropriate offices referred to in the preceding paragraph.

Contesting record procedures: Any individual may obtain information as to the procedure for contesting a record in the System which pertains to him by submitting a written request to the appropriate offices referred to in the preceding paragraph.

Record source categories: Information in this system comes primarily from regulated handlers and cooperative associations. Some additional data is provided by health authorities with respect to Grade A quality standards and investigative personnel.

USDA/AMS—3

System name: Perishable Agricultural Commodities Act (PACA)—History Files of Principals.

System location: Regulatory Branch, Fruit and Vegetable Division, Agricultural Marketing Service, USDA, Washington, D.C. 20250.

Categories of individuals covered by the system: Partners of General or limited partnerships, individual proprietors, officers, directors and holders of more than ten percent of outstanding stock of a corporate entity subject to the PACA.

Categories of records in the system: Card files used to identify the partnership, corporate entity in which the principal is or was responsibly connected as defined by the PACA. This system also contains felony and bankruptcy information relating to the principal.

Authority for maintenance of the system: 7 U.S.C. 499a-499s.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Unlocked cardex file cabinets.

Retrievability: Alphabetical by name.

Safeguards: Government office building.

Retention and disposal: Records are maintained and destroyed in accordance with retention schedule number NN 165-106 approved by the 89th Congress, first session on April 1, 1965.

System manager(s) and address: Chief, Regulatory Branch at the address listed above.

Notification procedure: Any individual may request information concerning himself from the system manager listed at the address above.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the system that pertains to him by submitting a request to the system manager at the address above.

Contesting record procedures: Any individual may obtain information as to the procedure for contesting a record in the system that pertains to him by submitting a request to the system manager at the address above.

Record source categories: Individuals, partners, and authorized officers of corporate entities.

USDA/AMS—4

System name: Administrative proceedings brought pursuant to the authority of section 8c(15)(a) of the Agricultural Marketing Agreement Act of 1937, as amended, USDA/AMS.

System location: Agricultural Marketing Service, United States Department of Agriculture; Washington, D.C. 20250 and Milk Market Administrator's Offices at locations listed in USDA/AMS-3.

Categories of individuals covered by the system: Individuals regulated by the subject Act who file a petition with the Secretary of Agriculture pursuant to the authority of the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intra- and interdepartmental recommendations.

Authority for maintenance of the system: 7 U.S.C. 601 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation of potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations. (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Government office buildings, locked offices, or locked file cabinets.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration destruction schedules and implemented by AMS Instruction 270-1, Records Management Program.

System manager(s) and address: Fruit and Vegetable Division Director or Dairy Division Director and each Milk Market Administrator at the addresses cited in the System location.

Notification procedure: Any individual may request information concerning himself from this system from Fruit and Vegetable Division Director or from the appropriate Milk Market Administrator's office having custody of his records. A request for information should be addressed to Director, Fruit and Vegetable Division or to the Milk Market Administrator, United States Department of Agriculture, as appropriate, at the address shown under Location and should contain: Name, address, and particular information requested.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the System which pertains to him by submitting a written request to the Director, Fruit and Vegetable Division or to the appropriate Milk Market Administrator's office, as appropriate, referred to in the preceding paragraph.

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the System which pertains to him by submitting a written request to the Director, Fruit and Vegetable Division or to the appropriate Milk Market Administrator's office referred to in the preceding paragraph.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/AMS—5

System name: Court cases brought by the Government pursuant to the following Acts, as amended: Agricultural Marketing Agreement Act of 1937, Agricultural Marketing Act of 1946, Agricultural Fair Practices Act, Cotton Research and Promotion Act of 1966, Egg Research and Consumer Information Act of 1974, or the Potato Research and Promotion Act, USDA/AMS.

System location: Agricultural Marketing Service, United States Department of Agriculture, Washington, D.C. 20250 and Milk Market Administrator's Offices at the locations listed in USDA/AMS-3.

Categories of individuals covered by the system: Individuals who are regulated by the subject Acts and who may be investigated for possible violations of the Acts and/or against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intra- and interdepartmental recommendations pertaining to an alleged violation of the subject Acts.

Authority for maintenance of the system: USC 601 et seq, 2101 et seq, and 2501 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, or local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, law, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations. (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate, or administrative tribunal. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in the file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Government office buildings, locked offices or locked file cabinets.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration destruction schedules and implemented by AMS Instruction 270-1, Records Management Program.

System manager(s) and address: Cotton, Dairy, Fruit and Vegeta-

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration destruction schedules and implemented by AMS Instruction 270-1, Records Management Program.

System manager(s) and address: Cotton, Dairy, Fruit and Vegetable, and Livestock, Poultry, Grain, and Seed Division Directors and each Milk Market Administrator at the addresses cited in the System location.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 USC 552a(k)(2) from the requirements of 5 USC 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and Procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/AMS—6

System name: Court cases brought pursuant to the authority of the Agricultural Marketing Agreement Act of 1937, as amended in which the Government is defendant, USDA/AMS.

System location: Agricultural Marketing Service, United States Department of Agriculture, Washington, D.C. 20250 and Milk Marked Administrator's Offices at the locations listed in USDA/AMS-3.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Government official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intra- and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 USC 601 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations. (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Government office buildings, locked offices, or locked file cabinets.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration destruction schedules and implemented by AMS Instruction 270-1, Records Management Program.

System manager(s) and address: Fruit and Vegetable Division Director or Dairy Division Director and each Milk Market Administrator at the addresses cited in the System location.

Notification procedure: Any individual may request information concerning himself from this system from the Fruit and Vegetable Division Director or from appropriate Milk Market Administrator's office having custody of his records. A request for information should be addressed to the Director, Fruit and Vegetable Division or to the Milk Market Administrator, United States Department of Agriculture, as appropriate, at the address shown under Location and should contain: Name, address, and particular information requested.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the System which pertains to him by submitting a written request to the Director, Fruit and Vegetable Division, or to the appropriate Milk Market Administrator's office referred to in the preceding paragraph.

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the System which pertains to him by submitting a written request to the Director, Fruit and Vegetable Division or to the approriate Milk Market Administrator's office referred to in the preceding paragraph.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/AMS—7

System name: Subsidiary Personnel and Pay Records, USDA/AMS.

System location: Agricultural Marketing Service, United States Department of Agriculture, Washington, D.C. 20250 and Region, Area, and Field Offices at locations listed in the Agricultural Marketing Service Field Office Listing publication.

Categories of individuals covered by the system: Present and former employees and applicants for employment with the Agricultural Marketing Service.

Categories of records in the system: The system consists of copies of materials maintained in Official Personnel Folders, such as personnel action documents, applications for employment, education and training data, performance and appraisal ratings, as well as time and attendance reports, earnings statements, and service record cards.

Authority for maintenance of the system: 5 U.S.C. 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) By agency officials for purposes of review in connection with appointments, promotions, within-grade increases, training, transfers, and determination of qualifications of an individual. (2) to provide information to a prospective employer of a Federal Government employee or former Federal Government employee or to an organization at the request of the individual. (3) Referral to the Civil Service Commission, Department of Labor, and Office of Management and Budget for required records and reports. (4) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (5) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within this system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (6) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal. (7) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders and on file cards at the applicable addresses listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Government office buildings, locked offices, or locked file cabinets.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration disposal schedules and implemented by AMS Instruction 270-1, Records Management Program.

System manager(s) and address: Personnel Division Director.

Notification procedure: Any individual may request information concerning himself from this system from the Personnel Division Director or from the individual's supervisor at the appropriate office having custody of his records. A request for information should be addressed to Director, Personnel Division or to the Officer-in-Charge, as appropriate, at the address shown under Location and should contain: Name, address, and particular information requested.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the System which pertains to him by submitting a written request to the Director, Personnel Division or to the appropriate Officer-in-Charge referred to in the preceding paragraph.

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the System which pertains to him by submitting a written request to the Director, Personnel Division or to the appropriate Officer-in-Charge referred to in the preceding paragraph.

Record source categories: Information in this System comes from the individual to whom it applies or is derived from information the individual supplied except information provided by agency officials on performance, appraisal, pay, leave, and allowance records.

USDA/AMS—8

System name: Packers and Stockyards administrative records, USDA/AMS.

System location: Packers and Stockyards Administrative Office, Rm. 3044 South Building, United States Department of Agriculture, Washington, D.C. and the Regional Supervisors in charge of the following regional offices located at: Route 1, Box 109, Sterling, Virginia 22170. Rm. 635, 1720 Peachtree Street, N.W., Atlanta, Georgia 30309; 208 Livestock Exchange Building, Denver, Colorado 80216; Rm. 8A36, Federal Building, 819 Taylor Street, Fort Worth, Texas 76102; Suite 24, 537 Turtle Creek, South Drive, Indianapolis, Indiana 46227, 828 Livestock Exchange Building, Kansas City, Missouri 64102; Rm. 2W6, Federal Office Building, 15000 Aviation Boulevard, Lawndale, California 90260; Rm. 459, Federal Building, 167 North Main Street, Memphis, Tennessee 38103; 525 Milltown Road, North Brunswick, New Jersey 08902; 905 Livestock Exchange Building, Omaha, Nebraska 68107; 9370 S. W. Greenburg Road, Suite E.,

Portland, Oregon 97223; 203 Post Office Building, Box 8, South St. Paul, Minnesota 55075; and 975 Durkin Drive, Suite G, Springfield, Illinois 62704.

Categories of individuals covered by the system: Present employees of the Packers and Stockyards/AMS.

Categories of records in the system: The system includes personnel (personnel record cards reflecting the name, date of birth, grade, salary, and employment history of present employees; performance evaluation forms; requests for training authorizations; recommendations for promotion; copies of personnel actions; and correspondence relating to individual employees' conduct), payroll and fiscal data required to meet the needs of P&S personnel and fiscal responsibilities.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data contained in the foregoing records is routinely used to answer inquiries from agencies considering the employees identified in the system for employment as well as for credit checks. This information is also used to initiate requests for investigation of Packers and Stockyards employees for purposes of security and conduct. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: With the exception of personnel record cards, all of these records are maintained on paper in file folders at the appropriate addresses cited.

Retrievability: All of the records are indexed and retrievable by name of the individual employees.

Safeguards: The records are maintained in locked files.

Retention and disposal: The personnel record cards are maintained until an individual leaves P&S. The performance evaluation forms for current employees are maintained indefinitely. The Time and Attendance reports are maintained for the current year and three years thereafter for employees currently on the rolls. Final Time and Attendance reports are maintained for ten years after the date of separation of the employees. Travel vouchers, copies of personnel actions, training documents, and recommendations for promotion are maintained for five years from the date of submission. Correspondence with respect to employee conduct is maintained while the employee remains on the rolls. The administrative officer of Packers and Stockyards physically mutilates the records on the scheduled disposal date and they are thrown away with the agency's waste.

System manager(s) and address: Administrative Officer, Packers and Stockyards, Rm. 3044 South Building, United States Department of Agriculture, Washington, D.C. 20250 and Regional Supervisors of regional offices at locations previously specified.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the System Manager. Telephone (202-447-7202) or the appropriate Regional Supervisor. Requests for information pertaining to an individual should contain: Name, location at which the individual worked for P&S, and the approximate dates.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate officials previously specified.

Contesting record procedures: Use same procedures as for requesting access.

Record source categories: Information in this system comes primarily from the individuals concerned, personnel, training, travel and payroll records.

USDA/AMS—9

System name: Persons engaged in business as livestock market agencies and dealers under the provisions of the Packers and Stockyards Act. USDA/AMS.

System location: Registrations, Bonds, and Reports Branch, Livestock Marketing Division, Packers and Stockyards Agricultural Marketing Service, United States Department of Agriculture, Washington, D.C. Also duplicate files for specific geographical regions maintained in the thirteen (13) Regional Supervisory Offices of P&S.

Categories of individuals covered by the system: Individuals who have applied for registration or are registered as livestock market agencies and dealers under the Packers and Stockyards Act.

Categories of records in the system: The system consists of index cards bearing the names of individuals who are registered under the provisions of the Act. Also cross-reference cards bearing the names of individuals who are owners or officers of registrant firms. From the index cards access may be gained to other systems of records identified as follows: (1) Registration Record Cards, (2) Case Record Cards, (3) Bond Claim Record Cards, (4) Registration Jurisdictional Files and (5) Stockyard Jurisdictional Files.

Authority for maintenance of the system: 7 U.S.C. 181 et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To answer inquiries from Federal and State agencies, livestock trade organizations, and others having a definite and proved interest in such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in card file cabinets and file folders at the applicable address listed above.

Retrievability: All index cards are maintained in an alphabetical order by name of registrant and by name of owners or officers of registrant firms.

Safeguards: Records are kept in locked cabinets under the supervision of competent personnel.

Retention and disposal: All files mentioned are maintained during active life of registration. When rendered inactive records are maintained for a period of two years in accordance with an approved records disposition schedule.

System manager(s) and address: Chief, Registrations, Bonds and Reports Branch, Livestock Marketing Division, Packers and Stockyards, Agricultural Marketing Service, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from System Manager, Telephone (202-447-4615 or 16). A request for information pertaining to an individual should contain that individual's full name, and current mailing address.

Record access procedures: Any individual desiring to gain access to a record maintained in the system which pertains to him may do so by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Use same procedures as followed in seeking access.

Record source categories: Information in this system comes primarily from individuals who make application for registration or who are registered under the Packers and Stockyards Act, 1921, as amended. A limited amount of information in the system is obtained from other sources such as corporate surety companies, persons acting as trustee on bonds or bond equivalents and Packers and Stockyards Regional Supervisory personnel.

USDA/ASCS—1

System name: Advisory Committee Files, USDA/ASCS.

System location: USDA/ASCS, Legislation and Committee Management, Room 228W, Administration Building, Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who are nominated and agree to serve as members of the advisory committees.

Categories of records in the system: Biographical data sheets, clearance letter from Office of Secretary, letter requesting the individual to serve, and his letter of acceptance.

Authority for maintenance of the system: 7 U.S.C. Sec. 1911-1913.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Biographical data used in press releases to announce membership of the gommittee.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of this individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in individual file folders.

Retrievability: By individual's name.

Safeguards: Kept in file cabinets in Government office building.

Retention and disposal: Retained in active file as long as individual serves on the committee. Maintained in inactive file indefinitely.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the Committee Management Officer, USDA/ASCS, Room 228-W, Washington, D.C. 20250. A request for information pertaining to an individual should contain: name address, name of system of records, year of records in question, and any other pertinent information that will help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: From individual.

USDA/ASCS—2

System name: Biographical Background, USDA/ASCS

System location: Deputy Administrator, Management, USDA/ASCS, 14th & Independence Ave., S.W., Washington, D.C. 20250; Management Field Office, USDA/ASCS, 8930 Ward Parkway, Kansas City, Missouri 64114; Kansas City Commodity Office, Brymar Office Center, 2400 W. 75th Street, Prairie Village, Kansas 66208.

Each State ASCS office at address listed in local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization and Conservation Service."

Categories of individuals covered by the system: Individuals who hold key positions in ASCS. Guest speakers and recipients of ASCS awards.

Categories of records in the system: Brief resume of individuals personal history.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.65.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To use in introduction of individual at speaking engagements. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Indexed by individual name.

Safeguards: Records are kept in locked office.

Retention and disposal: Indefinite.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Directly from the individual.

USDA/ASCS—3

System name: CCC Producer Loan Records, USDA/ASCS

System location: County ASCS office which services particular farm. The address of each county ASCS office can be found in the local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization and Conservation Service.

Categories of individuals covered by the system: Individuals who have applied for commodity, storage structure or drying equipment loans. Includes all commodities for which price support loans are available.

Categories of records in the system: Complete files and records pertaining to the loans such as original loan note, collateral, credit ratings, lien searches, financial statements, applications, and disbursement documents.

Authority for maintenance of the system: 15 U.S.C. 714-714p.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (3) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office at the request of the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in individual folders.

Retrievability: Indexed by individual name or loan number.

Safeguards: Records are kept in locked fireproof file cabinets in Government office building.

Retention and disposal: Upon liquidation, original loan note is returned to producer. All other records destroyed 6 years after liquidation.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding a system of records, or information as to whether the system contains records pertaining to him from the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individuals in system, county court records, audit bureaus and ASCS program documents.

USDA/ASCS—4

System name: Commodity Brokers, USDA/ASCS

System location: Kansas City, Commodity Office, Brymar Office Center, 2400 West 75th Street, Prairie Village, Kansas 66208; Chicago Branch Office, Room 106, 226 W. Jackson Blvd., Chicago, Illinois 60604; Minneapolis Branch Office, Room 310, Grain Exchange Building, Minneapolis, Minnesota 55415; Houston Branch Office, 2320 LaBranch Street, Houston, Texas 77002.

Categories of individuals covered by the system: Individuals who merchandize CCC owned commodities.

Categories of records in the system: Name, address, phone number, volume of CCC business, record of adverse situations, letter of credit.

Authority for maintenance of the system: 15 U.S.C. 714-714p.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Documents maintained in file folders. Working list maintained in binders.

Retrievability: By individual name.

Safeguards: Stored in Government office buildings, which are locked after working hours.

Retention and disposal: List updated continuously. Folders maintained 6 years and disposed under normal operations of Federal Records Center.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding a system of records, or information as to whether the system contains records pertaining to him from the Director, Kansas City Commodity Office, 2400 West 75th Street, P.O. Box 8377, Shawnee Mission, Kansas 66208, telephone (816) 926-6401, who if necessary will refer it to the appropriate office. A request for infor-

mation pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: From companies, individuals in system, regulatory authorities, and merchandizing records of Kansas City ASCS Commodity Office and branch offices.

USDA/ASCS—5

System name: Consultants File, USDA/ASCS.

System location: Management Services Division, USDA/ASCS, Room 6950-S, 14th and Independence Avenue SW., Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who perform consultant services for ASCS.

Categories of records in the system: Summary of negotiations, executed contract, work schedule, work performed, and purchase order.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.65.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued Pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto: (2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (3) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in files at office listed above.

Retrievability: Indexed by name and contract number.

Safeguards: Filed in standard file cabinets and stored in Government office building with security guard.

Retention and disposal: 6 years after fiscal year contract is negotiated.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, 14th & Independence Avenue SW., Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the Director, Management Services Division, USDA/ASCS, Room 6950-South Building, 14th and Independence Avenue SW., Washington, D.C. 20250. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information that will help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individual and ASCS employees.

USDA/ASCS—6

System name: Cotton Loan Clerks, USDA/ASCS.

System location: County ASCS office in county where approved clerks will execute loan documents. The address of each county ASCS office can be found in the local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization and Conservation Service".

Categories of individuals covered by the system: Individuals who request permission to process loan documents.

Categories of records in the system: Agreement between the clerk and CCC, executed, signed and dated by applicant and the CCC contracting officer.

Authority for maintenance of the system: 7 U.S.C. 1421, 15 U.S.C. 714-714p.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: List furnished to lending agencies that participate in CCC Cotton Loan Program. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Indexed by name of individual.

Safeguards: Kept in locked Government office building.

Retention and disposal: 6 years after agreement is cancelled or suspended.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individuals making application.

USDA/ASCS—7

System name: County Office Employees Administrative Expense File, USDA/ASCS.

System location: Management Field Office, USDA/ASCS, 8930 Ward Parkway, Kansas City, Missouri 64114.

Categories of individuals covered by the system: ASCS county and community committeemen, and employees who are employed in county ASCS offices on a full or part-basis.

Categories of records in the system: The system contains the names of all county ASCS committeemen and employees and information such as: identifying number (Social Security Number), race code, sex code, State code, county code, biweekly amount of payroll check including deduction amounts for FICA, Federal, State, and local withholding, FEHBA, FEGLI (Optional), NASCOE dues, and bonds. Also records of the date of birth, CO Grade and step, service computation, date last WGI, health code, cumulative and current retirement deduction, date severence pay ceases.

Authority for maintenance of the system: 16 U.S.C. 590.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) Internal Revenue Service for total annual income as required by the Internal Revenue Code; (2) State Revenue Board and local tax authorities for tax withholding or required by Internal Revenue Code; (3) Civil Service Commission for fringe benefits withholdings 5 U.S.C. 8331, 8701, 8901, (4) Social Security Administration for FICA withholdings; (5) General public in annual directories of county committeemen; (6) the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto; of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (7) a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (8) Summary data produced on microfilm sent to Federal Civilian Personnel Records Center, St. Louis, Missouri, annually as a permanent record of employee's service with ASCS. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape by the Kansas City Computer Center, 8930 Ward Parkway, Kansas City, Missouri 64114.

Retrievability: Records are indexed by social security number.

Safeguards: Records are kept in a fireproof vault in a secured area of the building.

Retention and disposal: Maintained indefinitely on a currently updated basis.

System manager(s) and address: Director, Management Services Division, USDA/ASCS, P.O. Box 2415, Washington, D.C. 20013.

Notification procedure: Any county office employee, county committeemen, or community committeemen may request information on this system of records or information as to whether the system contains records pertaining to him (her) from the Director, Management Field Office, ASCS/USDA, 8930 Ward Parkway, Kansas City, Missouri 64114, telephone 816-926-6502. A request for information pertaining to an individual should contain his (her) name, address, social security number, and ASCS county office(s) where employee/committeemen is employed.

Record access procedures: Any county office employee, county committeeman, may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him (her), by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Records Access Procedure.

Record source categories: Information in this system comes primarily from scannable documents prepared by the ASCS county office where individual is employed.

USDA/ASCS—8

System name: County Personnel Records, USDA/ASCS

System location: County ASCS office by which individual is employed, except that some records concerning county office employees are on file in State ASCS offices, the ASCS Management Institute, Stouffers University Inn, 3025 Olentangy River Road, Columbus, Ohio 43202 and the ASCS Personnel Division, Room 4752-South Building, 14th and Independence Avenue, S.W., Washington, D.C. 20250. The address of each ASCS State and county office can be found in the local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization and Conservation Service".

Categories of individuals covered by the system: ASCS county and community committeemen, and employees who are employed in county ASCS offices on a full or part-time basis.

Categories of records in the system: Official record of county ASCS employee. Contains documents such as application, oath of office, personnel actions, job description, performance data, life and health insurance forms, annual pay status record, retirement record card, and any other documents, letters, or records which serve as proof of individual employment from 1933 to date.

Authority for maintenance of the system: 5 U.S.C. 8331, 8701, 8901; 16 U.S.C. 590h.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Verification of employment and salary furnished to lending agencies and credit bureaus; (2) Answers inquiries from prospective employers, both private and Government referrals; (3) State employment bureaus, if applicable, to Bureaus of Employee Compensation to support injury claims; (4) State organizations of National Association State and County Office Employees when employees request dues be withheld from salary, (5) local banks when saving bonds are purchased and local taxing authority when local tax is withheld; (6) referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (7) A court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (8) A record from this system may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; (9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in folders.

Retrievability: Indexed by individual name and social security number.

Safeguards: Records in county offices are kept in locked fireproof file in Government office building. Other records are stored in cabinets in locked or secured Government offices.

Retention and disposal: Maintained on site for duration of employment. Transferred to Civilian Personnel Record Center, St. Louis, Missouri, after separation.

System manager(s) and address: Deputy Administrator, Management, USDA/ASCS, Washington, D.C. 20250.

Notification procedure: Any individual may inquire as to whether this system contains records pertaining to him by contracting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone 202-447-2717, who if necessaary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record source categories: Individual employee, agency initiated documents, reference sources.

USDA/ASCS—9

System name: Emergency Livestock Feed Program, USDA/ASCS

System location: County ASCS office where farm is located for administrative purposes. The address of each county ASCS office can be found in the local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization and Conservation Service.

Categories of individuals covered by the system: Individual requesting authorization to purchase livestock feed.

Categories of records in the system: Complete description of emergency on which eligibility and quantity determinations and actual deliveries are based.

Authority for maintenance of the system: 7U.S.C. 1427 and 1427 note.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Folders.

Retrievability: Indexed by name of individual applicant.

Safeguards: Locked office.

Retention and disposal: Disposed of 6 years after end of program year.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individual applicant.

USDA/ASCS—10

System name: Employee Resources Master File, USDA/ASCS.

System location: Management Field Office, USDA/ASCS, 8930 Ward Parkway, Kansas City, Missouri 64114.

Categories of individuals covered by the system: Federal employees (career, career conditional, temporary, general schedule, and wage board) who are presently employed in the Data Systems Field Office.

Categories of records in the system: Contains names of all individuals identified in the preceding paragraph and such information as social security number, date of birth, service date (for retirement and annual leave), pay plan, grade, step, occupational series, and annual

salary, daily salary rate, hourly salary rate, overtime hourly rate, training course number, course sponsor, course title, hour credit, and completion date.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.65.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Records are indexed by employee name.

Safeguards: Records are kept in a fireproof vault in a secured area of Government office building.

Retention and disposal: Maintained indefinitely on a currently updated basis.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the Chief, Management Field Office, USDA/ASCS, 8930 Ward Parkway, Kansas City, Missouri 64114. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information that will help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Summary of data maintained in the Official Personnel Folder.

USDA/ASCS—11

System name: EEO Committee and Counselors, USDA/ASCS.

System location: Office of the Administrator, USDA/ASCS, 14th & Independence Ave., S.W., Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who have been selected or considered to serve on EEO Committee or to be an EEO counselor.

Categories of records in the system: Resume of individual's qualifications.

Authority for maintenance of the system: 42 U.S.C. 2000d and 2000e; Executive Order 11246, 11375 and 11478.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders at office listed above. Indexed by individual name.

Safeguards: Kept in locked government office building.

Retention and disposal: Destroyed 2 years after individual ceases to serve as a committeeman or counselor.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding a system of records, or information as to whether the system contains records pertaining to him from the Assistant to the Administrator for EEO, USDA/ASCS, Room 251-W, 14th and Independence Avenue, S.W., Washington, D.C. 20250. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information that will help to identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individual.

USDA/ASCS—12

System name: EEO Complaints and Discrimination Investigation, USDA/ASCS

System location: USDA/ASCS, Office of the Administrator, 14th & Independence, Ave., S.W., Washington, D.C. 20250, and in offices of each EEO counselor at address posted on bulletin boards in Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who have been investigated for alleged discrimination as the result of a complaint and subsequent audit.

Categories of records in the system: Audit and investigation reports and supporting material. Individual files containing notes on meetings between counselor and employee.

Authority for maintenance of the system: 42 U.S.C. 2000d, 2000e, Executive Order 11246, 11375, and 11748.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referred to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information avaialable indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Indexed by individual name.

Safeguards: Filed in locked files in Government office building.

Retention and disposal: Destroyed when case is closed.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding a system of records, or information as to whether the system contains records pertaining to him from the Assistant to the Admininstrator for EEO, Room 251-W, 14th and Independence Avenue, SW., Washington, D.C. 20250, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individual, audit and investigation reports.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k) from the requirements of 5 U.S.C. 552a(c)(3)(d), (e) (1), (e)(4)(G), (H), and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinzed, and thus allow them time to take measures to prevent detection of illegal action or escape procesution. Disclosure of investigative techniques and procedures, and of the existence and identify confidential sources of information would hamper law enforcement activity.

USDA/ASCS—13

System name: Farm Record File (Automated), USDA/ASCS

System location: Management Field Office, USDA/ASCS, 8930 Ward Parkway, Kansas City, Missouri 64114.

Categories of individuals covered by the system: Farm owners, operators, and other producers.

Categories of records in the system: Contains producer identification number, commodity ID, farm number, State code, county code, disaster identification, CCC draft number, CCC draft amount, refund amount, net amount, allotment acres, yield per acre, silage tonnage, and program year.

Authority for maintenance of the system: 7 U.S.C. 135b, 450k, 1281-1393, 1421-1449, 1781-1787, 15 U.S.C. 714b and c; 16 U.S.C. 590a-590q, 1301-1311; 26 U.S.C. 6109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Records are indexed by State, county, and farmer identification number.

Safeguards: Tapes are kept in a fireproof vault in a secured part of Government office building.

Retention and disposal: Maintained throughout the program year on a currently updated basis. Prior program year tapes are retained for history purposes.

System manager(s) and address: Director, Management Services Division, USDA/ASCS, P.O. Box 2415 Washington, D.C. 20013.

Notification procedure: Any individual may request information on this system of records or information as to whether the system contains records pertaining to him (her) from Director, Kansas City Management Field Office, ASCS/USDA, 8930 Ward Parkway, Kansas City, Missouri 64114, telephone number 816-926-6502. A request for information pertaining to an individual should contain full name, address and zip code.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him (her), by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from documents submitted by the ASCS county office maintaining farm records on the individual producer. Information in these records is obtained directly from the individuals in the system.

USDA/ASCS—14

System name: Farm Records File (Manual), USDA/ASCS

System location: County ASCS office which services particular farm. The address of each county ASCS office can be found in the local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization and Conservation Service."

Categories of individuals covered by the system: Farm owners, operators, and other producers.

Categories of records in the system: Contains complete documentation of participation in active programs as well as discontinued programs. Includes but not necessarily limited to farm allotments, bases, and history, compliance data, production and marketing data, appeals, new grower applications, conservation program documents, program participation and payments, appraisals, leases, and data for farm reconstitutions.

Authority for maintenance of the system: 7 U.S.C. 135b, 450k, 1281-1393, 1421-1449, 1781-1787; 15 U.S.C. 714b and c; 16 U.S.C. 590a-590q, 1301-1311; 26 U.S.C. 6109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any records within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (3) Farm allotment and quota data for marketing quota crops is made available for public inspection as required by The Agricultural Act of 1938, as amended (7 U.S.C. 1281-1393); 7 CFR Parts 722-726, and 728-730; (4) Tobacco sales bills referred to appropriate loan associations when tobacco is placed under government loan; (5) Name, address, farm number and pounds of quota designated to Flue Cured Tobacco Stabilization Corporation which uses this data to assist in administering the flue cured tobacco warehouse designation program, labs for making chemical analysis of tobacco. Referral to State Forester for technical service on forestry practices. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Referral to individual Congressmen, upon their request to provide information to their farmer constituency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintain in file folders at applicable location above.

Retrievability: Indexed by individual name or farm identification number.

Safeguards: Records are kept in locked office.

Retention and disposal: 5 years after end of program year, except long term agreement conservation records which are 5 years after program year in which a practice is completed.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Data Systems Division, USDA/ASCS, Room 5741-South Building, 14th and Independence Avenue, S.W., Washington, D.C. 20250, telephone (202) 447-7561, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individual farmer, agency executed documents.

USDA/ASCS—15

System name: Farmer's Name and Address Master File (Automated) USDA/ASCS.

System location: Management Field Office, ASCS-USDA, 8930 Ward Parkway, Kansas City, Missouri 64114.

Categories of individuals covered by the system: All known farmers who reside in area served by the local county ASCS office.

Categories of records in the system: Contains names and addresses and zip codes of all farmers and other information, such as, social security or producer identification number, race code, State and county code on farmers who participate.

Authority for maintenance of the system: 7 U.S.C. 135b, 450k, 1281-1393, 1421-1449, 1781-1787; 15 U.S.C. 714b and c; 16 U.S.C. 590a-590q, 1301-1311; 26 U.S.C. 6109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Furnished to (1) Internal Revenue Service to report total annual payments to each producer; (2) approved Cooperative Marketing Associations for price support loan eligibility; (3) State and county taxing authorities and (4) Commodity Promotion Boards where producer funds are withheld by ASCS. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Referral to individual Congressmen, upon their request to provide information to their farmer constituency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on mag-tape by the Kansas City Computer Center at the address shown above.

Retrievability: Records are indexed by the producer identification number of the individual farmer, in State and county sequence.

Safeguards: Records are kept in a fire proof vault in a secured area of Government office building.

Retention and disposal: Records of current producers are maintained indefinitely. Additions, deletions and corrections are made periodically.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertinent to him, from the Director, Management Field Office, Kansas City, Missouri 64114, telephone 816-926-6502. A request for information pertaining to an individual should contain: name, address, producer idenification number(s) and the ASCS county office(s) where the farm records are maintained.

Record access procedures: Any individual may obtain information as to the Procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the official referred to in the preceding paragraph.

Contesting record procedures: Same as Records Access Procedure.

Record source categories: Directly from individual and from documents submitted by the ASCS county office.

USDA/ASCS—16

System name: Farmers' Name and Address Master File (Manual), USDA/ASCS

System location: County ASCS office where the farmers' farm is located for administrative purposes at address listed in the local telephone directory under the heading of "United States Government, Department of Agriculture, Agricultural Stabilization & Conservation Service."

Categories of individuals covered by the system: Farmers who participate in farm programs administered by ASCS, or who are known to the local ASCS office.

Categories of records in the system: Contains names and addresses and ZIP codes of all farmers including such information as social security number and producer identification number, race, State and county code, and farm data.

Authority for maintenance of the system: 7 U.S.C. 135b, 450k, 1281-1393, 1421-1449, 1781-1787; 15 U.S.C. 714b and c; 16 U.S.C. 590n-590q, 1301-1311; 26 U.S.C. 6109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used in contacting farmers in carrying on business of ASCS. Appropriate lists are furnished to (1) suppliers of material and services, elegible voters in same county, (2) cotton buyers, and to cotton, rice, and peanut cooperatives. Referral to Commodity Promotion Boards when producer funds are withheld by ASCS. Referral to local taxing authorities and professional appraisal companies or consultants working under contract with such taxing authorities for tax appraisal purposes. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on addressograph plates and imprinter plates, at applicable locations above.

Retrievability: Records are indexed by name of individual.

Safeguards: Records are kept in locked Government office.

Retention and disposal: Maintained as a current record until superceded by updated address.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contact the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S. Washington, D.C. 20250, 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: From individuals, postal department, and county courthouse, if necessary to locate absentee owner of farm.

USDA/ASCS—17

System name: Indemnity and Incentive Programs—USDA/ASCS

System location: County ASCS Office which services particular farm. The address of each county ASCS office can be found in the local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization & Conservation Service."

Categories of individuals covered by the system: Individual filing application for Wool, Mohair, Incentive payments, Milk and Bee Indemnity program payments.

Categories of records in the system: Contains complete file on which eligility for payment determination are based.

Authority for maintenance of the system: 7 U.S.C. 1781-1787, 135b, 450k.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Storage: Records are maintained in file folders.

Retrievability: Indexed by individual producer's name.

Safeguards: Kept in locked file in Government Office Building.

Retention and disposal: Disposed of 6 years after end of program year.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20013

Notification procedure: An indivdual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S. Washington, D.C. 20250, 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notifications procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individual furnishes information when making application for payment.

USDA/ASCS—18

System name: Investigation and Audit Reports—USDA/ASCS

System location: USDA/ASCS, 14th and Independence Ave., S.W., Washington, D.C. 20250. Kansas City Commodity Office, USDA-ASCS, Brymar Office Center, 2400 W. 75th, Prairie Village, Kansas 66208. State ASCS offices at address listed in local telephone directory under United States Government, ASCS/USDA.

Categories of individuals covered by the system: Individuals who are the subject of a formal investigation relative to alleged program or administrative irregularities.

Categories of records in the system: Contains complete files on individual investigations, including program documents, investigation reports, statements of witnesses, accident reports, and agency reports.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.65.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, issued pursuant thereto; Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above. Records are indexed by name of individual being investigated and investigation case number.

Safeguards: Kept in locked files in Government office building.

Retention and disposal: Destroyed when case is closed.

System manager(s) and address:

Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a (c)(3) (d), (e)(1), (e)(4) (G), (H), and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to

take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures, and of the existence and identity of confidential sources of information would hamper law inforcement activity.

USDA/ASCS—19

System name: Maximum Payment Limitations, USDA/ASCS

System location: County ASCS Office which services particular farm. The address of each county ASCS office can be found in the local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization & Conservation Service."

Categories of individuals covered by the system: Individual subject to Program Payment Limitation.

Categories of records in the system: Financial statement and applicable farm information as well as tax statements, will & trust documents and corporation charters.

Authority for maintenance of the system: 7 U.S.C. 1307.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by rule, regulation or order issued pursuant thereto; Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Indexed by name of individual.

Safeguards: Kept in locked file in Government office building.

Retention and disposal: Destroyed 5 years after end of Program year.

System manager(s) and address: Deputy Administrator, Management, ASCS/USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Information furnished by individual producer.

USDA/ASCS—20

System name: Power of Attorney & Designated Agents, USDA/ASCS

System location: County ASCS Office which services particular farm. The address of each county ASCS office can be found in the local telephone directory under the heading "United States Government, Department of Agriculture, Agricultural Stabilization & Conservation Service."

Categories of individuals covered by the system: Individuals giving powers of attorney and individuals securing the powers to act as agent.

Categories of records in the system: Documents authorizing an individual to act as a representative of a producer or company.

Authority for maintenance of the system: 7 U.S.C. 135b, 450k, 1281-1393, 1421-1449, 1781-1787; 15 U.S.C. 714 b and c; 16 U.S.C. 590a-590q, 1301-1311; 26 U.S.C. 6109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders.

Retrievability: Indexed by name of individual.

Safeguards: Kept in locked file in Government office building.

Retention and disposal: Destroyed 6 years after authority is cancelled or suspended.

System manager(s) and address: Deputy Administrator, Management, ASCS/USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Producer or company which authorized the agent to conduct business.

USDA/ASCS—21

System name: Producer Appeals, USDA/ASCS

System location: ASCS, Program Appeals Staff, Room 4723, So., Building, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Categories of individuals covered by the system: Farm owners, operators or producers who file program appeals on prior determinations made by State ASCS Committees or the Deputy Administrator, Programs.

Categories of records in the system: The system consists of complete files on appeals including farm records, correspondence, investigations and audit reports, statements of witnesses, record and verbatim transcript of hearing.

Authority for maintenance of the system: 7 U.S.C. 135b, 450k, 1281-1393, 1421-1449, 1781-1787; 15 U.S.C. 714 b and c; 16 U.S.C. 590a-590q, 1301-1311; 26 U.S.C. 6109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by rule, regulation or order issued pursuant thereto; Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Record are maintained in file folders.

Retrievability: Indexed by name of individual.

Safeguards: Kept in office attended by authorized personnel.

Retention and disposal: Maintained 6 years after case is closed.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding a system of records, or information as to whether the system contains records pertaining to him from the Director, Program Appeals Staff, USDA/ASCS, Room 4723-South Building, 14th and Independence Avenue, S.W., Washington, D.C. 20250. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Individual, witnesses, ASCS county personnel.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k) from the requirements of 5 U.S.C. 552a(c)(3)(d), (e)(1), (e)(4)(G), (H), and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures, and of the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/ASCS—22

System name: Producer Payment Reporting File 365 and 368—USDA/ASCS

System location: Management Field Office, USDA/ASCS, 8930 Ward Parkway, Kansas City, Missouri 64114

Categories of individuals covered by the system: Farmers who participate in Programs administered by ASCS.

Categories of records in the system: Contains names and addresses of all participating farmers including ZIP code, concerned with ASCS farm programs, including such information as: social security number or producer identification number, State and County codes, and program payment data.

Authority for maintenance of the system: 26 U.S.C. 6109.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Furnished to (1) Internal Revenue Service for total annual payment to each producer; (2) Farmers for record of payments received by him (her) and reported to IRS. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Indexed by name of individual.

Safeguards: Kept on magnetic tape in a fireproof vault in a secured area of Government office building.

Retention and disposal: Maintained indefinitely on a currently updated basis.

System manager(s) and address: Deputy Administrator, Management, ASCS/USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information on this system of records or information as to whether the system contains records pertaining to him (her) from Director, Kansas City, Management Field Office, ASCS/USDA, 8930 Ward Parkway, Kansas City, Missouri, 64114, telephone number 816-926-6502. A request for information pertaining to an individual should contain name, address and ASCS county office(s) where farm records are maintained.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him (her), by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedure.

Record source categories: Documents submitted by the ASCS county office maintaining farm records on the individual producer and submitted primarily by such producers to the county office.

USDA/ASCS—23

System name: Shorn and Unshorn Wool and Mohair—USDA/ASCS

System location: Management, Field Office, USDA/ASCS, 8930 Ward Parkway, Kansas City, Missouri 64114

Categories of individuals covered by the system: Farmers who participate in the shorn and unshorn wool and mohair incentive programs administered by ASCS.

Categories of records in the system: Contains names and addresses of all farmers participating in the ASCS Wool and Mohair incentive program for the current marketing year, and other data such as: Social security number and wool production data.

Authority for maintenance of the system: 7 U.S.C. 1781-1787; 7 CFR 2.65.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Furnished to (A) Idaho Sheep Commission to report number of head shorn. (B) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (C) Navaho Indian Agency, Bureau of Indian Affairs sight drafts and payment statements for individual payments for Navaho program participants. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Indexed by name of individual producer in State and county sequence.

Safeguards: Kept in a fireproof vault in a secured area of Government office building.

Retention and disposal: Retained for three prior marketing years and disposed of by re-using the obsolete magnetic tapes.

System manager(s) and address: Director, Management Services Division, USDA/ASCS, P.O. Box 2415, Washington, D.C. 20013

Notification procedure: Any wool producer may request information on this system of records or information as to whether the system contains records pertaining to him (her) from Director, Kansas City Management Field Office, USDA/ASCS/8930 Ward Parkway, Kansas City, Missouri 64114, telephone 816-926-6502. A request for information pertaining to an individual should contain name, address, social security number, and county where farm is located.

Record access procedures: Any wool producer may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate offical referred to in the preceeding paragraph.

Contesting record procedures: Same as Records Access Procedure.

Record source categories: Information in this system comes primarily from applications for wool and mohair payments documents submitted by the ASCS county offices maintaining farm records on the individual wool producer who is the primary source of the data.

USDA/ASCS—24

System name: Subsidiary Personnel, Pay, and Travel Records—USDA/ASCS

System location: Any ASCS office where individual is employed at address shown in the local telephone directory under United States Government, USDA/ASCS.

Categories of individuals covered by the system: Individuals employed by ASCS, except county office employees and committeemen.

Categories of records in the system: Agency copies of personnel actions, training records, performance ratings, earnings statements, time and attendance reports, travel authorizations and vouchers, payroll deduction records, service record cards, record of accountable documents charged to employee, appeal cases, and conflict of interest statements.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.65.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Answer inquiries from prospective employers when employee gives immediate supervisor or co-worker as reference.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders at address shown above.

Retrievability: Indexed by name of individual employee.

Safeguards: Kept in file cabinets at address shown above.

Retention and disposal: Maintained in active status during the employee's tenure at the organizational entity. After transfer or separation maintained in inactive status to be used to answer employment

inquiries. Conflict of interest statement retained 2 years after employee is separated.

System manager(s) and address: Deputy Administrator, Management, ASCS, USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone 202-447-2727, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Employee, CSC, agency initiated documents.

USDA/ASCS—25

System name: Tobacco (Flue-cured, Burley) Farm History Master File, USDA/ASCS

System location: Management Field Office, USDA/ASCS, 8930 Ward Parkway, Kansas City, Missouri 64114

Categories of individuals covered by the system: Farmers who participate in the flue-cured or burley tobacco programs.

Categories of records in the system: Contains names and addresses of all participating tobacco farmers and such information as State county, farm number, allotments and quotas, production and marketing data, lease and transfer data.

Authority for maintenance of the system: 16 U.S.C. 590; 7 U.S.C. 1281-1393; 7 U.S.C. 1421-1449; 7 CFR 2.65

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Furnished to Congress upon request from members and Congressional Agencies; Cooperative marketing associations for price support and marketing data; and Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record, within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Indexed by State, county, farm number, community number and producer's name.

Safeguards: Kept in fireproof vault in a secured area of Government office building.

Retention and disposal: Maintained indefinitely on a currently updated basis.

System manager(s) and address: Director, Management Services Division, USDA/ASCS, P.O. Box 2445, Washington, D.C. 20013

Notification procedure: Any individual may request information on this system of records or information as to whether the system contains records pertaining to him from Director, Kansas City Management Field Office, ASCS/USDA, 8930 Ward Parkway, Kansas City, Missouri 64114, telephone 816-926-6502. A request for information pertaining to an individual should contain name, address, and county where tobacco farm is located.

Record access procedures: Any tobacco producer may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedure.

Record source categories: Documents submitted by the ASCS county office maintaining farm records on the individual producer and submitted primarily by him (her) to the county office.

USDA/ASCS—26

System name: Tort, Program, and Civilian Employee Claims USDA/ASCS

System location: Any ASCS office having jurisdiction over the claim at the location listed in the local telephone directory under United States Government, USDA/ASCS.

Categories of individuals covered by the system: Individual by whom or against whom claim involving ASCS or CCC has been filed.

Categories of records in the system: Complete files on individual claims, including claim forms, police reports, investigation and accident reports, statement of witnesses, and agency reports.

Authority for maintenance of the system: P.L. 83-480; P.L. 89-508; 28 U.S.C. 2671-2630; 31 U.S.C. 240; 5 U.S.C. 8101-8150; 7 U.S.C. 135b, 450k, 1281-1393; 1421-1449, 1781-1787; 15 U.S.C. 714 b and c; 16 U.S.C. 590a-590q, 1301-1311.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) The appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or enforcing or implementing the statute, rule, regulation or order issued pursuant thereto; of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (2) Department of labor for those arising under the Federal Employees Compensation Act; (3) Insurance companies where necessary for resolution of claim; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; and (5) Referral of list of producer names on claim record to cotton loan clerks for offsetting.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Individual claim folders.

Retrievability: Indexed by name of claimant number.

Safeguards: Kept in locked file cabinets in Government office building.

Retention and disposal: Retained after settlement for 6 years if CCC and 5 years if appropriated funds involved.

System manager(s) and address: Deputy Administrator, Management, ASCS/USDA, Washington, D.C. 20250.

Notification procedure: An individual may inquire as to whether this system contains records pertaining to him by contacting the head of the office where the records are located. If the specific location of the records is not known, the individual should address his request to Director, Management Services Division, USDA/ASCS, Room 6959-S, Washington, D.C. 20250, telephone, 202-447-2717, who if necessary will refer it to the appropriate office. A request for information pertaining to an individual should contain: name, address, name of system of records, year of records in question, and any other pertinent information to help identify the file.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Information in this system comes primarily from claimants, witnesses, agency employees, and investigative personnel.

USDA/ASCS—27

System name: Peanut Allotment and Quota File, USDA/ASCS.

System location: Management Field Office, USDA/ASCS 8930 Ward Parkway, Kansas City, Mo. 64114.

Categories of individuals covered by the system: All producers who participate in the peanut allotment and quota program as set forth by the Food and Agriculture Act of 1977. (Effective 1978 through 1981 peanut crop year.)

Categories of records in the system: This file contains data such as farm number, producer name, address, State and county in which peanut farming is conducted, acreage allotments, quotas and marketing data.

Authority for maintenance of the system: 7 U.S.C. 1358, 1359, 1373, 1377 and 1441.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Furnished to Cooperative Marketing Associations for price support and marketing data; and referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or by rule, regulation or order issued pursuant thereto; referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Disclosure may be made to Federal State Inspection Service, Cooperative Peanut Associations and Peanut Board.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes and disks at the Kansas City Computer Center, 8930 Ward Parkway, Kansas City, Mo. 64114.

Retrievability: Records are indexed by State, county and farm number.

Safeguards: Records maintained on magnetic tapes and disks are kept in a limited access secured Federal Government facility.

Retention and disposal: Maintained on a currently updated basis for the 1978-1981 crop years of peanuts.

System manager(s) and address: Deputy Administrator, Management, USDA/ASCS, Washington, D.C. 20250.

Notification procedure: Any peanut producer may request information on this system of records or information as to whether or not the system contains records pertaining to the named producer from: Director, Management Field Office, USDA/ASCS, 8930 Ward Parkway Kansas City, Mo. 64114, telephone 816-926-6502. However, all data concerning the producer is available in the appropriate county ASCS office, as well as similar peanut allotment and quota information about other peanut producers in the county. Thus the county office would be the most help in servicing a Privacy Act request for personal data from the peanut producer. A request for information pertaining to an individual, as a minimum, must contain name, address and ASCS county office(s) where peanut farm records are maintained.

Record access procedures: Same as notification procedure.

Contesting record procedures: Same as notification procedure.

Record source categories: Information in this system comes primarily from documents origination in county ASCS offices and from information submitted by peanut producers and peanut associations to the county ASCS office(s).

USDA/APHIS—1

System name: Plant Protection and Quarantine Programs—Regulatory Actions, USDA/APHIS

System location: Plant Protection and Quarantine Programs—USDA/APHIS, Room 633, Federal Building, Hyattsville, MD 20782

Categories of individuals covered by the system: Violators and alleged violators of plant protection and plant quarantine laws and regulations.

Categories of records in the system: The system consists of case files on violators and contains copies of violation report forms, compliance agreements, employee or other witness statements, warning notices, Office of the General Counsel (OGC) recommendations to the U.S. Department of Justice and court disposition documents.

Authority for maintenance of the system: 7 U.S.C. 150gg, 163.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (3) Referral to the Department of Justice for the defense of suits against the United States or its officers, or for the institution of suits for the recovery of claims by the United States Department of Agriculture. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders in metal file cabinets.

Retrievability: Records are manually retrieved by alphabetized name of the individual violator.

Safeguards: Records are maintained in locked files with APHIS employees in attendance during working hours.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Deputy Administrator, Plant Protection and Quarantine, USDA/APHIS, 14th & Independence Avenue, S.W., Washington, D.C. 20250

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). See 7 CFR 1.23. Individual access to these records would impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action to escape prosecution. Any individual who feels, however, that he has been denied any right, privilege or benefit for which he would otherwise be eligible as a result of the maintenance of such material may request access to the material. Such requests should be addressed to: APHIS Privacy Act Coordinator, Administrative Services Division, USDA/APHIS, Fed. Bg., 6505 Belcrest road, Hyattsville, MD 20782.

USDA/APHIS—2

System name: Veterinary Services Programs—Records of Accredited Veterinarians, USDA/APHIS

System location: Room 801, Federal Building, Veterinary Services, USDA/APHIS, Hyattsville, MD 20782

Categories of individuals covered by the system: Private veterinary practitioners who are accredited by the Federal and State governments to issue health certificates for the interstate and international movement of livestock and participate in cooperative State/Federal animal health programs.

Categories of records in the system: (1) Record includes name of accredited veterinarian, State in which accredited, State license number, college and date of graduation, and score on accreditation examination. (2) Record also includes material pertaining to alleged violations of accreditation standards. If allegations are proven true the record includes the disposition of the case which may be revocation of accreditation.

Authority for maintenance of the system: 21 U.S.C. 105, 111-114a-1, 116, 125, 134b, 134f.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to State Animal Health officials to certify that a particular individual is indeed accredited. (2) Referral to State Veterinary Examinating Boards to certify that a particular individual is indeed accredited. (3) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing of implementing the statute rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule regulation or order issued pursuant thereto. (4) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (5) Referral to the Department of Justice for the Defense of suits against the United States or its officers or for the institution of suits for the recovery of claims by the United States Department of Agriculture. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders and on 3x5 cards.

Retrievability: Records are manually retrieved by alphabetized names.

Safeguards: Records are kept locked in files with APHIS employees in attendance during working hours.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Deputy Administrator, Veterinary Services, USDA/APHIS, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Notification procedure: All inquiries should be addressed to: APHIS Privacy Act Coordinator, Administrative Service Division, USDA/APHIS, Fed. Bg., 6505 Belcrest Road, Hyattsville, MD 20782.

Record access procedures: All inquiries should be addressed to the APHIS Privacy Act Coordinator.

Contesting record procedures: All inquiries should be addressed to the APHIS Privacy Act Coordinator.

Record source categories: Material is transcribed from documents submitted by the individual. Material is verified by State and Area Animal Health Officials which sometimes results in additional source material submitted by such officials.

Systems exempted from certain provisions of the act: The portions of this system which consist of investigatory material compiled for law enforcement purposes have been exempted pursuant to 5 U.S.C. 552a(k)(2) from the provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). See 7 CFR 1.23. Individual access to these records would impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action to escape prosecution. Any individual who feels, however, that he has been denied any right, privilege or benefit for which he would otherwise be eligible as a result of the maintenance of such material may request access to the material. Such requests should be addressed to: APHIS Privacy Act Coordinator, Administrative Services Division, USDA/APHIS, Fed. Bg., 6505 Belcrest Road, Hyattsville, MD 20782.

USDA/APHIS—3

System name: Veterinary Services Programs—Animal quarantine Regulatory Actions, USDA/APHIS

System location: Program Services, Veterinary Services Program, USDA/APHIS, Federal Center Building, Hyattsville, MD 20782.

Categories of individuals covered by the system: Veterinarians; Livestock Market Operators; Livestock Haulers; Livestock Dealers, Buyers and Brokers; Livestock Owners and Producers.

Categories of records in the system: Investigatory and case files of alleged violations of quarantine laws contain the alleged violator's name and address, type of infraction, and documentation of the alleged infraction. The file includes closed cases as well as the current status of those cases remaining unresolved.

Authority for maintenance of the system: 21 U.S.C. 101-105, 111-134.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule regulation or order issued pursuant thereto. (2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitues evidence in that proceeding, or which is sought in the course of discovery. (3) Referral to the Department of Justice for the defense of suits against the United States or its officers, or for the institution of suits for the recovery of claims by the United States Department of Agriculture. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders in metal file cabinets.

Retrievability: Numbered cases are cross-indexed by alphabetized names. Files are manually retrieved.

Safeguards: Records are maintained in locked files with APHIS employees in attendance during working hours.

Retention and disposal: After three years closed cases are sent to the Federal Records Center where they are retained indefinitely. Open cases are retained indefinitely in the Program Services Office.

System manager(s) and address: Deputy Administrator, Veterinary Services, USDA/APHIS, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). See 7 CFR 1.23. Individual access to these records would impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action to escape prosecution. Any individual who feels, however, that he has been denied any right, privilege or benefit for which he would otherwise be eligible as a result of the maintenance of such material may request access to the material. Such requests should be addressed to: APHIS Privacy Act Coordinator, Administrative Services Division, USDA/APHIS, Fed. Bg., 6505 Belcrest Road, Hyattsville MD 20782.

USDA/APHIS—4

System name: Veterinary Services Programs—Animal Welfare and Horse Protection Regulatory Actions, USDA/APHIS

System location: Animal Care Staff, Veterinary Services, USDA/APHIS, Room 700, Federal Building, Hyattsville, MD 20782.

Categories of individuals covered by the system: Dealers, exhibitors, and other individuals required to be licensed or registered under the Federal Laboratory Animal Welfare Act of 1966, as amended. Operators of research facilities and other individuals required to be registered under the Federal Laboratory Animal Welfare Act of 1966, as amended. Horse Trainers, owners, exhibitors, and other individuals subject to the Horse Protection Act of 1970.

Categories of records in the system: Investigatory and case files contain the alleged violators name and address, type of infraction, and documentation of the alleged infraction. The files include closed cases as well as the current status of those cases not resolved.

Authority for maintenance of the system: 7 U.S.C. 2131 et seq.; 15 U.S.C. 1821 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on index cards and in file folders in metal file cabinets.

Retrievability: Numbered cases are cross indexed by alphabetized names. Files are manually retrieved.

Safeguards: Records are maintained in locked files with APHIS employees in attendance during working hours.

Retention and disposal: Files are retained indefinitely.

System manager(s) and address: Deputy Administrator, Veterinary Services, USDA/APHIS, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 522a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). See 7 CFR 1.23. Individual access to these records would impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action to escape prosecution. Any individual who feels, however, that he has been denied any right, privilege or benefit for which he would otherwise be eligible as a result of the maintenance of such material may request access to the material. Such requests should be addressed to: APHIS Privacy Act Coordina-

tor, Administrative Services Division, USDA/APHIS, Fed. Bg., 6505 Belcrest Road, Hyattsville, MD 20782.

USDA/APHIS—5

System name: Veterinary Services Programs—Candidates for Animal Disease Control Positions in Foreign Countries.

System location: International Operations Staff, Emergency Programs, Veterinary Services, USDA/APHIS, Hyattsville, MD 20782.

Categories of individuals covered by the system: Animal health scientists.

Categories of records in the system: Resumes of previous job and educational experience.

Authority for maintenance of the system: 21 U.S.C. 114b.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Advise U.S. scientists in animal health and related field of potential use of their qualifications by international organizations and/or foreign governments. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders in metal file cabinets.

Retrievability: Records are retrieved manually by alphabetized name.

Safeguards: Records are maintained in locked files with APHIS employees in attendance during normal working hours.

Retention and disposal: After 3 years records are sent to the Federal Records Center where they are destroyed after 10 years.

System manager(s) and address: Deputy Administrator, Veterinary Services, USDA/APHIS, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Notification procedure: All inquiries regarding this system of records should be addressed to: APHIS Privacy Act Coordinator, Administrative Services Division, USDA/APHIS, Fed. Bg., 6505 Belcrest Road, Hyattsville, MD 20782.

Record access procedures: All inquiries should be addressed to the APHIS Privacy Act Coordinator.

Contesting record procedures: All inquiries should be addressed to the APHIS Privacy Act Coordinator.

Record source categories: All information in this system of records is obtained directly from the individual concerned.

USDA/APHIS-6

System name: Veterinary Services—Brucellosis Information System

System location: U.S. Department of Agriculture, Fort Collins Computer Center, Colorado, and each of the various States.

Categories of individuals covered by the system: Herd owners whose animals or herds are tested, studied, or restricted because of brucellosis; livestock markets, slaughter establishments; and livestock dealers (including agents and brokers) handling livestock covered by the program; milk processing plants receiving milk or cream from dairy farms; laboratories conducting brucellosis program tests or procedures; State, Federal, and contractual personnel engaged in program activities.

Categories of records in the system: Information on herds and individual animals tested, studied, or restricted under the brucellosis program; epidemiologic studies; animals, specimens, or premises sampled, identified, inspected, tested, handled, or restricted under the brucellosis program by State, Federal or contractual personnel; animal identification, health, and movement data of animals covered under program activities for traceback of disease from livestock markets, slaughter plants, and livestock dealers or livestock brokers or commission firms; milk and cream samples and related identification data for brucellosis testing from milk processing plants receiving fresh farm milk; and brucellosis test data from laboratories approved to do brucellosis program testing.

Authority for maintenance of the system: 21 U.S.C. 111, 112, 114, 114a–1, 115, 120, 121, 125, 134a–134f and Title 9, Code of Federal Regulations, Part 51 and Part 78.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records maintained in the computer system will be routinely used by the Federal and State government personnel for: (1) detecting the foci of infection to reduce the rate of spread of infection to new herds; (2) evaluating brucellosis program activities of State, Federal, and contractual personnel; (3) preparing mailing labels and preaddressed forms to enhance field activities; (4) evaluating program effectiveness; (5) detecting factors of epidemiologic importance in containing or eliminating foci of infected herds; (6) assuring that brucellosis indemnities are promptly and properly paid; (7) notification of livestock owners with animals at high risk of exposure to brucellosis because of livestock movements or an outbreak of disease or presence of quarantined premises in a community; (8) referral to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting a violation of law concerning animal disease control and eradication, or of enforcing or implementing a statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law concerning animal disease control and eradication, whether civil, criminal, or regulatory in nature, and either arising by general statute or particular program statute, or by rule, regulation, or court order issued pursuant thereto; (9) presentation or disclosure to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (10) presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate, or administrative tribunal; (11) disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records will be maintained on two mediums depending on how current they are. These are: (1) On-line disk storage and (2) Magnetic Tape.

Retrievability: Under the new system, it will be possible to retrieve and organize data by any of the categories which have been recorded. This will greatly improve the ability to retrieve existing records and to serve the livestock industry in the eradication of brucellosis.

Safeguards: The only individuals with access to this system will be Federal and State government employees with a need to know. The data base will be secured on a State-by-State basis. The brucellosis national planning staff will have access to all information in the computerized system without restrictions. The computer files and tapes will be kept in a safeguarded environment with access only by authorized personnel.

Retention and disposal: (1) Herd records will be maintained in the data base as follows: (a) Infected herds not depopulated or sold out will always be on-line. (b) Depopulated or sold out herds will be archived. (c) Tested herds but not infected will be kept on-line for 6 months after testing, and then archived on a fiscal year basis. Archived data will be kept for 6 years.

(2) Records pertaining to animals, specimens or premises sampled, identified, inspected, tested, handled, or restricted by State, Federal, or contractual personnel will be kept on-line as long as the individual is working in brucellosis programs. Once employment or accreditation is terminated, the information will be archived by fiscal year for 6 years.

(3) Livestock market, slaughter establishment, livestock dealer, milk processing plant, and laboratory records pertaining to animal or herd information will be retained as described under (1) above.

System manager(s) and address: Deputy Administrator, Veterinary Services, USDA/APHIS, Federal Building, 6505 Belcrest Road, Hyattsville, MD 20782.

Notification procedure: All inquiries should be addressed to: APHIS Privacy Act Coordinator, Administrative Services Division, USDA/APHIS, Federal Building, 6505 Belcrest Road, Hyattsville, MD 20782.

Record access procedures: All inquiries should be addressed to the APHIS Privacy Act Coordinator.

Contesting record procedures: All inquiries should be addressed to the APHIS Privacy Act Coordinator.

Record source categories: (1) Epidemiologic information for herds and animals is obtained from documents and reports completed by Federal and State employees or contractual personnel as a part of testing a herd or animal(s) or as a part of investigating the source and spread of brucellosis within the livestock population.

(2) Information for work related activities is made available by the appropriate State or Federal office for personnel and contractual employees paid from their funds.

(3) Livestock market, slaughter establishment, livestock dealer, milk processing plant, and laboratory information is acquired in the course of obtaining other program activity information such as where samples were collected, where animal identification was applied, where samples were tested, and how the samples or animals were handled or processed prior to or following collection or testing.

USDA/ESS—1

System name: Administrative Records System, USDA/ESS

System location: Statistical Offices at the following locations:

Montgomery, AL
Phoenix, AZ
Little Rock, AR
Sacramento, CA
Denver, CO
Washington, DC
Orlando, FL
Athens, GA
Boise, ID
Springfield, IL
West Lafayette, IN
Des Moines, IA
Topeka, KS
Louisville, KY
Alexandria, LA
College Park, MD
Lansing, MI
St. Paul, MN
Jackson, MS
Columbia, MO
Helena, MT
Lincoln, NE
Reno, NV
Concord, NH
Trenton, NJ
Las Cruces, NM
Albany, NY
Raleigh, NC
Fargo, ND
Columbus, OH
Oklahoma, City, OK
Portland, OR
Harrisburg, PA
Columbia, SC
Sioux Falls, SD
Nashville, TN
Austin, TX
Salt Lake City, UT
Richmond, VA
Seattle, WA
Charleston, WV
Madison, WI
Cheyenne, WY

Addresses of each Statistical Office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Economics and Statistics Service, or Crop and Livestock Reporting Service."

Categories of individuals covered by the system: All Federal and State employees who work in ESS offices.

Categories of records in the system: The system consists of employee's name, home address, telephone number, salary rate, accumulated salary for year, accumulated hours worked, and accumulated travel expenses, which includes per diem, mileage, and total miles travelled.

Authority for maintenance of the system: 5 U.S.C. 301 and 7 U.S.C. 2204.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in the system of records for State Department of Agriculture employees is made available to the Head of the State Department of Agriculture or his designee. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Documents (CEF-201's and bi-weekly Time and Attendance reports) are retained in the State Statistical Offices specified above.

Machine readable data are maintained on the INFONET network with each office only able to access its own files.

Retrievability: The master employee data base is indexed by employee number assigned by each office.

Safeguards: Source documents are kept in file cabinets in the offices listed above.

Retention and disposal: The two data bases in this system are handled in the following manner:

1. Bi-weekly Data Base—After initial usage, stored on tape and retained for one year.
2. Master Employee Data Base—Inactive employee records are deleted at the end of each fiscal year.

A copy of this file will be retained for five years.

System manager(s) and address: The Assistant Deputy Administrator for Statistics Washington, D.C. or the Statistician in Charge for each State Statistical Office is responsible for employee's records, at the address specified above.

Notification procedure: Any employee working in an ESS Statistical Office since 1975 may request information regarding this system of records, or information stating whether the system contains records pertaining to him from the System Manager at the appropriate Statistical Office. A written request for information pertaining to an individual's records should contain name, address, and most recent dates of employment with USDA/ESS.

Record access procedures: Anyone actively employed by USDA/ESS—Statistics during the past five years may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the paragraph entitled "Notification procedure."

Contesting record procedures: Anyone actively employed by USDA/ESS—Statistics during the past five years may obtain information as to the procedures for contesting a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the paragraph entitled "Notification procedure."

Record source categories: Information in this system comes from enumerator time and mileage forms (CEF-201), time and attendance forms from all other employees, and employment forms (SF-171 and NASDA-171).

USDA/ESS—2

System name: June Acreage and Livestock Enumerative Survey, USDA/ESS

System location: Survey questionnaires are located in State Statistical Offices at the following locations:

Montgomery, AL
Phoenix, AZ
Little Rock, AR
Sacramento, CA
Denver, CO
Orlando, FL
Athens, GA
Boise, ID
Springfield, IL
West Lafayette, IN
Des Moines, IA
Topeka, KS
Louisville, KY
Alexandria, LA
College Park, MD
Lansing, MI
St. Paul, MN
Jackson, MS
Columbia, MO
Helena, MT
Lincoln, NE
Reno, NV
Concord, NH
Trenton, NJ
Las Cruces, NM
Albany, NY
Raleigh, NC
Fargo, ND
Columbus, OH
Oklahoma, City, OK
Portland, OR
Harrisburg, PA
Columbia, SC
Sioux Falls, SD
Nashville, TN

Austin, TX
Salt Lake City, UT
Richmond, VA
Seattle, WA
Charleston, WV
Madison, WI
Cheyenne, WY

Addresses of each Statistical Office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Economics and Statistics Service, or Crop and Livestock Reporting Service."

Magnetic tapes are located on the INFONET network, Chicago Center, Chicago, Illinois.

Categories of individuals covered by the system: Farmers and ranchers residing in selected small land areas. Also included are non-farm residents living rent free in houses on farms in these same selected small land areas.

Categories of individuals covered by the system: Questionnaires and magnetic tapes containing information on farm population in those households described above.

Authority for maintenance of the system: 7 U.S.C. 2204.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Questionnaires are packed in boxes and stored in State Statistical Offices at the following locations:

Montgomery, AL
Phoenix, AZ
Little Rock, AR
Sacramento, CA
Denver, CO
Orlando, FL
Athens, GA
Boise, ID
Springfield, IL
West Lafayette, IN
Des Moines, IA
Topeka, KS
Louisville, KY
Alexandria, LA
College Park, MD
Lansing, MI
St. Paul, MN
Jackson, MS
Columbia, MO
Helena, MT
Lincoln, NE
Reno, NV
Concord, NH
Trenton, NJ
Las Cruces, NM
Albany, NY
Raleigh, NC
Fargo, ND
Columbus, OH
Oklahoma, City, OK
Portland, OR
Harrisburg, PA
Columbia, SC
Sious Falls, SD
Nashville, TN
Austin, TX
Salt Lake City, UT
Richmond, VA
Seattle, WA
Charleston, WV
Madison, WI
Cheyenne, WY

Magnetic tapes stored in tape library of the INFONET network, Chicago, Center, Chicago, Illinois.

Retrievability: Questionnaires are stored in boxes which are identified by location of selected small land areas. Magnetic tapes are indexed by a number assigned to selected small land areas.

Safeguards: Questionnaires are kept in locked storage rooms. Magnetic tapes are stored in an area to which access is limited to authorized personnel of the INFONET network.

Retention and disposal: Questionnaires are kept for a minimum of 30 days after the primary survey is summarized. Magentic tapes are retained for 14 months on the INFONET network and then destroyed after satisfactory completion of survey data summary.

System manager(s) and address: Chairman, Crop Reporting Board, ESS, USDA, Washington, D.C. 20250, or the appropriate Statistician in Charge, State Statistical Office at the address specified above.

Notification procedure: Any individual may request information as to whether the system contains records pertaining to him from the Chairman, Crop Reporting Board, Statistical Reporting Service, USDA, Washington, D.C. telephone 202-447-4415, or the appropriate Statistician in Charge at the address listed above. If the specific location of the record is not known, the individual should address his request to the Chairman, Crop Reporting Board, who, if necessary, will refer it to the appropriate State Statistical Office. A request for information pertaining to an individual should contain name, address, and date (year) that questionnaire was completed.

Record access procedures: Any individual who was interviewed in the survey may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the paragraph entitled "Notification procedure."

Contesting record procedures: Any individual who was interviewed in the survey may obtain information as to the procedure for contesting a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the paragraph entitled "Notification procedure."

Record source categories: Information in this system comes solely from farmers and ranchers who were interviewed in this survey, or from non-farm residents who are located in selected small land areas.

USDA/ESS--3

System name: Personnel Data Base, USDA/ESS

System location: Computer Records—INFONET network, Chicago Center, Chicago, Illinois. Inputs-coding sheets and punch cards in file cabinet in Room 5868 South Building, Statistical Reporting Service, USDA, Washington, D.C. 20250. Outputs-listings distributed to and retained by each applicable Administrative Officer, Division Director, Assistant Deputy Administrator, Division of Personnel, ESS, USDA, Washington, D.C. 20250.

Categories of individuals covered by the system: ESS employees in the following position classification series: 334, 1529, and 1530.

Categories of records in the system: The system consists of information pertaining to Statistical Reporting Service employee's name; job series; grade; age; service computation date; date began in Statistical Reporting Service; work experience; training; and awards.

Authority for maintenance of the system: 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Documents are maintained in offices of officials identified previously. Machine readable data are maintained on the INFONET network, Chicago Center, Chicago, Illinois.

Retrievability: Records are indexed by Social Security Number.

Safeguards: Source documents are kept in locking file cabinet in office of Administrative Officer, ESS Statistics Program, USDA, Washington, D.C.

Retention and disposal: A review is made each quarter. Records which are no longer needed are destroyed.

System manager(s) and address: Administrative Officer, ESS Statistics Program. USDA, Washington, D.C. 20250.

Notification procedure: Any employee may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Administrative Officer, Statistical Reporting Service, USDA, Washington, D.C., telephone 202-447-6546.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the Administrative Officer referred to in paragraph entitled "Notification procedure."

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the system which

pertains to him by submitting a written request to the Administrative Officer referred to in the paragraph entitled "Notification procedure."

Record source categories: Information in this system comes primarily from form SF-52, Request for Personnel Action; form AD-281, Request and Authorization for Outside Training; and form AD-287-2, Approval and Certification of Cash Award.

USDA/ESS—4

System name: Quarterly Agricultural Labor Survey, USDA/ESS.

System location: Survey questionnaires are located in State Statistical Offices at the following locations:

Montgomery, AL
Phoenix, AZ
Little Rock, AR
Sacramento, CA
Denver, CO
Orlando, FL
Athens, GA
Boise, ID
Springfield, IL
West Lafayette, IN
Des Moines, IA
Topeka, KS
Louisville, Ky
Alexandria, LA
College Park, MD
Lansing, MI
St. Paul, MN
Columbia, MO
Helena, MT
Lincoln, NE
Reno, NV
Concord, NH
Trenton, NJ
Las Cruces, NM
Albany, NY
Raleigh, NC
Fargo, ND
Columbus, OH
Oklahoma City, OK
Portland, OR
Harrisburg, PA
Columbia, SC
Sioux Falls, SD
Nashville, TN
Austin, TX
Salt Lake City, UT
Richmond, VA
Seattle, WA
Charleston, WV
Madison, WI
Cheyenne, WY

Addresses of each State Statistical Office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Economics and Statistics Service, or Crop and Livestock Reporting Service."

Magnetic tapes are located on the INFONET network, Chicago Center, Chicago, Illinois.

Categories of individuals covered by the system: Farmers and ranchers who report the following information on the Quarterly Agricultural Labor Survey: (1) number of hours worked in the survey week by the operator, (2) number of unpaid family workers working more than 15 hours in the survey week, (3) number of paid family workers working in the survey week, (4) hours worked by unpaid family workers, and (5) wages paid to paid family workers.

Categories of records in the system: Questionnaires, punch cards and magnetic tapes containing information as listed under "Category of Individuals" reported by farmers and ranchers who are interviewed in the survey.

Authority for maintenance of the system: 7 U.S.C. 2204.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Questionnaires are packed in boxes and stored in State Statistical Offices at the following locations:

Montgomery, AL
Phoenix, AZ
Little Rock, AR
Sacramento, CA
Denver, CO
Orlando, FL
Athens, GA
Boise, ID
Springfield, IL
West Lafayette, IN
Des Moines, IA
Topeka, KS
Louisville, KY
Alexandria, LA
College Park, MD
Lansing, MI
St. Paul, MN
Jackson, MS
Columbia, MO
Helena, MT
Lincoln, NE
Reno, NV
Concord, NH
Trenton, NJ
Las Cruces, NM
Albany, NY
Raleigh, NC
Fargo, ND
Columbus, OH
Oklahoma City, OK
Portland, OR
Harrisburg, PA
Columbia, SC
Sioux Falls, SD
Nashville, TN.
Austin, TX
Salt Lake City, UT
Richmond, VA
Seattle, WA
Charleston, WV
Madison, WI
Cheyenne, WY

Magnetic tapes stored in tape library on the INFONET network, Chicago Center, Chicago, Illinois.

Retrievability: Questionnaires are stored in boxes which are identified by Reporter Identification number. Punch cards and magnetic tapes are indexed by Reporter Identification number.

Safeguards: Questionnaires are kept in locked storage rooms. Punch cards are kept in file drawers. Magnetic tapes are stored in an area to which access is limited to authorized personnel of the INFONET network.

Retention and disposal: Questionnaires are kept a minimum of 30 days after primary data is summarized. Magnetic tapes are retained for 5 years on the INFONET network and then destroyed after satisfactory completion of survey data summary.

System manager(s) and address: Chairman, Crop Reporting Board, ESS, USDA, Washington, D.C. 20250, or the appropriate Statistician in Charge, State Statistical Office at the address specified above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Chairman, Crop Reporting Board, ESS, USDA, Washington, D.C. telephone 202-447-4415, or the appropriate Statistician in Charge at the address listed above. If the specific location of the record is not known, the individual should address his request to the Chairman, Crop Reporting Board, who, if necessary, will refer it to the appropriate State Statistical Office. A request for information pertaining to an individual should contain, name, address, and date (month and year) that questionnaire was completed.

Record access procedures: Any farmer who was interviewed in the survey may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the paragraph entitled "Notification procedure."

Contesting record procedures: Any farmer or rancher who was interviewed in the survey may obtain information as to the procedures for contesting a record in the system which pertains to him by submitting a written request to the appropriate offical referred to in the paragraph entitled "Notification procedure."

Record source categories: Information in this system comes solely from farmers and ranchers who were interviewed in this survey.

USDA/ESS—5

System name: State Farm Census, USDA/ESS.

System location: Illinois Crop and Livestock Reporting Service, ESS/USDA, 202 U.S. Post Office and Court House Building, Springfield, IL 62705.

Categories of individuals covered by the system: Farmers who report number of persons living in farm household to county assessors or other enumerators.

Categories of records in the system: Reporting forms and magnetic tapes containing data on number of persons living in farm households.

Authority for maintenance of the system: 7 U.S.C. 2204.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Supplied to Illinois State government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Reporting forms are maintained in files in the office of the Illinois Crop Livestock Reporting Service, and magnetic tapes are maintained in the Computer Center, Management Information Division, State of Illinois, Springfield, IL.

Retrievability: Records are indexed by a unique identification number assigned by the Illinois Crop and Livestock Reporting Service.

Safeguards: Records are kept in a room locked after working hours.

Retention and disposal: Reporting forms are retained for 2 years in the Illinois Crop and Livestock Reporting Service office and then sent to the State Archives where they are retained indefinitely.

System manager(s) and address: Statistician in charge, Illinois Crop and Livestock Reporting Service, ESS/USDA, 202 U.S. Post Office & Court House Building, Springfield, Illinois 62705.

Notification procedure: Any farmer in Illinois may request information regarding this system of records. He can determine whether the system contains records relating to him from the Statistician in Charge at the address listed above. A request for information pertaining to an individual should contain name, address and year of the report.

Record access procedures: Any farmer may obtain information as to the procedure for gaining access to a record in the system which pertains to him by submitting a written request to the Statistician in Charge referred to in the paragraph entitled "Notification procedure."

Contesting record procedures: Any farmer may obtain information as to the procedure for contesting a record in the system which pertains to him by submitting a written request to the Statistician in Charge referred to in the paragraph entitled "Notification procedure."

Record source categories: Information in this system comes primarily from farmers.

USDA/ESS–6

System name: Farm Production Expenditure Survey, Family Living Expense Section(s), USDA/ESS.

System location: Survey Questionnaires and raw data in machine readable media are located in State Statistical Offices at the following locations:

Montgomery, AL
Phoenix, AZ
Little Rock, AR
Sacramento, CA
Denver, CO
Washington, D.C.
Orlando, FL
Athens, GA
Boise, ID
Springfield, IL
West Lafayette, IN
Des Moines, IA
Topeka, KS
Louisville, KY
Alexandria, LA
College Park, MD
Lansing, MI
St. Paul, MN
Jackson, MS
Columbia, MO
Helena, MT
Lincoln, NE
Reno, NV
Concord, NH
Trenton, NJ
Las Cruces, NM
Albany, NY
Raleigh, NC
Fargo, ND
Columbus, OH
Oklahoma City, OK
Portland, OR
Harrisburg, PA
Columbia, SC
Sioux Falls, SD
Nashville, TN
Austin, TX
Salt Lake City, UT
Richmond, VA
Charleston, WV
Madison, WI
Cheyenne, WY

Addresses of each State Statistical Office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Economics and Statistics Service" or "Crop and Livestock Reporting Service."

Magnetic tapes and list frame codes that identify individuals are located in the Martin Marietta Data System (MMDS) file, Orlando, Florida.

Categories of individuals covered by the system: A sample of farmers and ranchers residing in continental United States.

Categories of records in the system: Questionnaires and machine readable media containing information as listed under the "Category of Individuals" reported by farmers and ranchers who are interviewed in the survey and who voluntarily report family living expenditures on the Farm Production Expenditure Survey for: (1) Food and household supplies; (2) housing-rent, mortgage payments, maintenance on appliances and furnishings, repairs, utilities purchased; (3) non-farm auto transportation purchases, maintenance and operating expenses of motor vehicles, insurance, public transportation; (4) other family living expenses not reported above (clothing, health insurance, medical and dental care, education, personal insurance, hobbies, recreation, gifts and contributions and magazines); and (5) total expenditure for family living expenses.

Authority for maintenance of the system: 7 U.S.C. 2204.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The family living expense data is used to update the Index of Prices Paid by Farmers for Commodities and Services, Interest, Taxes and Farm Wage Rates to the current base weight period. Summary data as published do not identify specific data with individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Questionnaires packed in boxes and raw data machine readable media are stored in State Statistical Offices at the locations referred to in the paragraph entitled "Systems Locations."

Magnetic tapes and list frame codes that identify individuals are stored in the tape library on MMDS Network.

Retrievability: Questionnaires, machine readable media and magnetic tapes are indexed by reporter identification numbers and/or location of selected small land areas.

Safeguards: Questionnaires and raw data machine readable media arae retained in locked storage rooms. Magnetic tapes are stored in an area to which access is limited to authorized personnel of MMDS.

Retention and disposal: Questionnaires are retained for a minimum of 30 days after primary data have been summarized. Machine readable raw data media is kept a minimum period of 14 months after satisfactory completion of the summary.

System manager(s) and address: Chairman, Crop Reporting Board, Economics and Statistics Service, Statistics, USDA, Washington,

D.C. 20250, telephone (202–447–4415) or the appropriate Statistician in Charge, State Statistical Office at the addressed specified above.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to the individual from the Chairman, Crop Reporting Board, Economics and Statistics Service, USDA, Washington, D.C., telephone (202–447–4415) or the appropriate Statistician in Charge at the address listed above. If the specific location of the record is not known, the individual should address the request to the Chairman, Crop Reporting Board, who, if necessary, will refer it to the appropriate State Statistical Office. A request for information pertaining to an individual should contain name, address, and date (month and year) that questionnaire was completed and name of survey.

Record access procedures: Any farmer or rancher who was interviewed in the survey may obtain information as to the procedures for gaining access to a record in the system which pertains to the individual by submitting a written request to the appropriate official referred to in the paragraph entitled "Notification Procedure."

Contesting record procedures: Any farmer or rancher who was interviewed in the survey may obtain information as to the procedures for contesting a record in the system which pertains to the individual by submitting a written request to the appropriate official referred to in the paragraph entitled "Notification Procedure."

Record source categories: Information in this system comes solely from farmers and ranchers who were interviewed in this survey.

USDA/OBPE—1

System name: Committee Management Records System, USDA/OBPE

System location: USDA, Office of Budget, Planning and Evaluation, Management Division, Washington, D.C. 20250.

Categories of individuals covered by the system: All individuals who are public members of USDA advisory committees are included in this system of records.

Categories of records in the system: The system consists of membership listings by committee name, State, ethnic affiliation, and female members. Keypunch cards are the basis for some of the above listings.

Authority for maintenance of the system: 5 U.S.C. App. 1

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Maintained as a means of responding to Congressional inquiries for names and numbers of citizens serving on committees from a particular State. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in notebooks and on keypunch cards.

Retrievability: Records are indexed by names of individuals and by committee name.

Safeguards: Records contain no sensitive information and are kept in regular office files.

Retention and disposal: Records are retained until committee membership is changed. Obsolete listings are sent to the USDA historian.

System manager(s) and address: Assistant Director, Management, Office of Budget, Planning and Evaluation, USDA, Washington, D.C. 20250, 202-447-6111.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him, from the System Manager. A request for information pertaining to an individual should contain the individual's name, address, and name of the committee on which he is serving.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to records in this system which pertain to him by submitting a written request to the System Manager.

Contesting record procedures: Any individaul may obtain information as to the procedures for contesting a record in the system which pertains to him by submitting a request to the System Manager.

Record source categories: Information in this system is collected by USDA agencies from published reference books (Who's Who, etc.), from organizations which make recommendations of possible members, and from the prospective members.

USDA/OEO—1

System name: Discrimination Complaints Under Title VI of the Civil Rights Act of 1964, USDA/OEO

System location: Office of Equal Opportunity, USDA, Compliance and Enforcement Division, Auditor's Building, Rm. 4123, Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who file complaints alleging discrimination are recipents of USDA benefit programs.

Categories of records in the system: The system consists of complete files (i.e., complaint, agency response to complaint related correspondence, inquiries and investigatory reports) on initial inquiries made by personnel OEO and the agency complained about. The file, where appropriate, may consist of investigatory reports conducted and compiled by the Office of Investigation.

Authority for maintenance of the system: 42 U.S.C. 2000d et. seq., 7 CFR 15, Secy's Memo 1662, Supp. 2 and Secy's Memo 1756.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) To initiate corrective action or possible referral to the Department of Justice if voluntary compliance is not achieved. (2) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (3) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, or any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of complainant, agency and address.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained for a period of 3 years, after which they are sent to the National Archives and Records Service, Washington, D.C. 20408.

System manager(s) and address: Richard J. Peer, Chief, Compliance and Enforcement Division, Office of Equal Opportunity, USDA, Auditor's Building, Rm. 4123, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records from the System Manager as set forth in the preceding paragraph.

Record access procedures: A request for access to a record from the system shall be in writing with the envelope and letter marked "Privacy Access Request." Access requests will be directed to the System Manager listed above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Information in this system comes primarily from agency personnel, complainant, witnesses, participants and nonparticipants, investigative personnel and community leaders.

USDA/FmHA—1

System name: Applicant/Borrower or Grantee File, USDA/FmHa.

System location: Each applicant's/borrower's or grantee's file is located in the County Office through which the financial assistance is sought or was obtained, and the Finance Office in St. Louis, Missouri. A State Office version of the County Office file may be located in or be accessible by the State Office responsible for that County Office. Correspondence about borrowers is located in the National and State Office files.

A list of State Offices and any additional States for which an office is responsible follows:

Montgomery, AL
Phoenix, AZ
Little Rock, AR

Woodland, CA—HI
Denver, CO
Newark, DE—MD, NJ
Gainesville, FL
Athens, GA
Boise, ID
Champaign, IL
Indianapolis, IN
Des Moines, IA
Topeka, KS
Lexington, KY
Alexandria, LA
Crono, ME
East Lansing, MI
St. Paul, MN
Jackson, MS
Columbia, MO
Bozeman, MT
Lincoln, NE
Albuquerque, NM
Syracuse, NY—VI
Raleigh, NC
Bismarck, ND
Columbus, OH
Stillwater, OK
Portland, OR—AK
Harrisburg, PA
San Juan, PR
Columbia, SC
Huron, SD
Nashville, TN
Temple, TX
Salt Lake City, UT—NV
Montpelier, VT—CT, MA, NH, RI
Richmond, VA
Wenatchee, WA
Morgantown, WV
Stevens Point, WI
Casper, WY

The addresses of State and County Offices are listed in the telephone directory of the appropriate city or town under the heading "United States Government, Department of Agriculture, Farmers Home Administration." The Finance Office is located at 1520 Market Street, St. Louis, Missouri 63103.

Categories of individuals covered by the system: Present and former FmHA borrowers/grantees and applicants including members of associations.

Categories of records in the system: The system consists of files containing applicant's/borrower's or grantee's characteristics such as gross and net income, sources of income, capital, assets and liabilities, net worth, age, observed race, number of dependents, martial status, credit report, reference material, and operating plans. In addition, a running record of observations concerning the operations of the person being financed is included at the County Office level. A record of deposits in and withdrawals from a person's supervised bank account is also contained in those files where appropriate or, in some County Offices, maintained in a separate folder containing only information relating to activity within supervised bank accounts. Some items of information are extracted from the person's file and placed in a card file for quick reference.

Authority for maintenance of the system: 7 U.S.C. 1921 et. seq., 42 U.S.C. 1471 et. seq., 42 U.S.C. 2706.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

Information contained in borrowers' files may also provide the basis for USDA news releases citing borrowers' progress.

Referral to employers, businesses, landlords, creditors and others to determine repayment ability and eligibility for FmHA programs.

Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the State, County, and National Office. A limited subset of personal, financial, and characteristics data required for effective management of the programs and borrower repayment status is maintained on disc or magnetic tape at the Finance Office, accessible by each appropriate office.

Retrievability: Records are indexed by name, identification number and type of loan or grant. Data may be retrieved from paper records. A limited subset of data is available through telecommunications capability ranging from telephones to intelligent terminals. The telecommunications capability is available to all FmHA offices.

Safeguards: Records are kept in locked offices at the State, County, and National Office. A limited subset of data is also maintained in a properly managed tape and disc library and an online retrieval system at the Finance Office. Access is restricted to authorized FmHA personnel. A system of operator and terminal passwords and code numbers is used to restrict access to the online system. These codewords and numbers are changed as necessary.

Retention and disposal: Records are maintained subject to the Federal Records Disposal Act of 1943 (44 U.S.C. 366-380) and in accordance with FmHA's disposal schedules. Disposal of records at the State, Coounty, and National Office is accomplished through deposit in office waste containers. Records at the Finance Office are disposed of by overprinting.

Applications which are rejected, withdrawn, or otherwise terminated are kept in the County Office one full fiscal year after the fiscal year in which final action was taken on the application.

The records of borrowers who have paid or otherwise satisfied their obligation are retained in the County Office one full fiscal year. In those instances where real estate has been acquired by the FmHA through foreclosure, conveyance of title, etc., and subsequently sold to a borrower not eligible for FmHA programs, the State Office folder for this borrower will be transferred to the National Office after the account has been paid in full. The folder will be retained at the Federal Records Center for 10 years. Correspondence records at the National Office which concern borrowers and applicants are retained for 3 fiscal years after the last year in which there was correspondence.

System manager(s) and address: The County Supervisor at the County level, the State Director at the State Office level, the Director of the Finance Office for Finance Office records, and the Administrator, FmHA, for the National Office file.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate System Manager. If the specific location of the record is not known, the individual should address his request to the Administrator, (Attention: Freedom of Information Officer), USDA/FmHA, Washington, D.C. 20250, telephone (202) 447-2211. A request for information pertaining to an individual should contain: Name, address, FmHA office where loan/grant was applied for/approved and particulars involved (i.e., date of request/approval, which FmHA program, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to one of the System Managers referred to in the preceding paragraph.

Contesting record procedures: Same as access.

Record source categories: Information in this system comes primarily from the applicant/borrower/grantee.

USDA/FmHA—2

System name: Biographical Sketch File, USDA/FmHA

System location: USDA/FmHA 14th & Independence Avenue, S.W. Washington, D.C. 20250.

Categories of individuals covered by the system: All employees and former employees of FmHA at or above the Division Director level and all current and former State Directors.

Categories of records in the system: The system consists of files containing information concerning employee's educational and employment history, awards, marital status, number of children, present employment, place of birth and current residence. The employee knows the file is maintained and has approved the biography

Authority for maintenance of the system: 7 U.S.C. 1921 et seq., 42 U.S.C. 1471 et. seq., and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This information is furnished to the news media, Congressional committees, organizations to which the employee will be speaking and other interested parties. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the National Office.

Retrievability: Records are indexed by name.

Safeguards: Records are kept in a building with full-time security.

Retention and disposal: Indefinite.

System manager(s) and address: Administrator, USDA/FmHA 14th & Independence Avenue, S.W. Washington, D.C. 20250

Notification procedure: Any individual may request information concerning this system of records, or information as to whether the system contains records pertaining to him from the System Manager. A request for information pertaining to an individual should contain: Name, address, position(s) held in FmHA and dates of employment.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him by submitting a written request to the System Manager.

Contesting record procedures: Same as access.

Record source categories: Information in this system is provided by the employee, or is taken from his record with his concurrence.

USDA/FmHA—3

System name: Credit Report File, USDA/FmHA

System location: Each borrower's/grantee's or applicant's credit report file is located in the County Office through which application for credit was made, the State Office responsible for that county, and the National Office. The addresses of FmHA County Offices are listed in the telephone directories of appropriate municipalities under the heading "United States Government, Department of Agriculture, Farmers Home Administration." A listing of State Offices and any additional States for which an office is responsible is included under the system titled "USDA/FmHA Applicant, Borrower or Grantee File."

The National Office is located at 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Categories of individuals covered by the system: All FmHA borrowers, grantees and recent applicants are included in this system.

Categories of records in the system: This system consists of credit reports and personal references from credit agencies, lenders, and individuals.

Authority for maintenance of the system: 7 U.S.C. 1921 et seq., 42 U.S.C. 1471 et seq., and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. "Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in the borrower's/grantee's, or applicant's file folders at all levels.

Retrievability: Records are indexed by name and borrower's number.

Safeguards: Records are kept in locked offices and access is limited to authorized FmHA personnel.

Retention and disposal: Records are maintained subject to the Federal Records Disposal Act of 1943 (44 U.S.C. 366-380) and in accordance with FmHA's disposal schedules. Credit reports and references relating to applications which are rejected, withdrawn or otherwise terminated are retained one full fiscal year after the fiscal year in which the action was taken.

Credit reports concerning borrowers who have paid or otherwise satisfied their obligations are retained as above.

System manager(s) and address: The County Supervisor at the County Office level, the State Director at the State Office level, and the Administrator, FmHA, for the National Office file.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate System Manager. If the specific location of the record is not known, the individual should address his request to the Administrator, (Attention Freedom of Information Officer), USDA/FmHA, Washington, D.C., telephone (202) 447-2211, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, State and county where loan was applied for/approved and particulars involved (i.e., date of request/approval, type of loan, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him by submitting a written request to one of the System Managers referred to in the preceding paragraph.

Contesting record procedures: Same as access.

Record source categories: Information in this system comes primarily from credit agencies and creditors.

Systems exempted from certain provisions of the act: Information contained in this system which is based on frank statements obtained from sources under express or implied promise that the identity of the source will be held in confidence and is exempt from the provisions of 5 U.S.C. a (d) (1) on the basis of 5 U.S.C. 552 a (k) (5).

USDA/FmHA—4

System name: Designated Attorney and Escrow Agent File, USDA/FmHA

System location: Each designated attorney or escrow agent file is located in the County Office and State Office in the State in which he is designated. In addition, all designated attorneys and escrow agents are listed at the National Office.

A list of State Offices and any additional States for which an office is responsible is included under the system titled "USDA/FmHA Applicant, Borrower, or Grantee File." The addresses of State and County Offices are listed in the telephone directory of the appropriate city or town under the heading "United States Government, Department of Agriculture, Farmers Home Administration."

Categories of individuals covered by the system: All FmHA designated attorneys and escrow agents including those whose designations have expired within the last year.

Categories of records in the system: The system consists of a list of names of designated attorneys and escrow agents, and may include comments as to whether their performance has been satisfactory.

Authority for maintenance of the system: 7 U.S.C. 1921 et. seq., 42 U.S.C. 1471 et. seq., and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. Information is also provided to FmHA borrowers prior to loan closing and to other interested parties upon request. "Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the appropriate location.

Retrievability: Records are indexed by name.

Safeguards: Records are kept in locked offices at all levels. Access at all levels is restricted to authorized FmHA personnel.

Retention and disposal: Records are maintained subject to the Federal Records Disposal Act of 1943 (44 U.S.C. 366-380) and in accordance with FmHA's disposal schedules. Records are destroyed one year after termination of the designation.

System manager(s) and address: The County Supervisor at the County Office level, the State Director at the State Office level, and

the Administrator, FmHA, for the National Office file at the following address: USDA/FmHA, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate System Manager. If the specific location of the record is not known, the individual should address his request to the Administrator, USDA/FmHA, 14th & Independence Avenue, S.W., Washington, D.C. 20250, telephone (202) 447-2211, (Attention Freedom of Information Officer). A request for information pertaining to an individual should contain: Name, address, State and county in which the individual was a designated attorney or escrow agent.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to one of the System Managers referred to in the preceding paragraph.

Contesting record procedures: Same as access.

Record source categories: Information comes primarily from the subject of the file.

USDA/FmHA—5

System name: Graduation File, USDA/FmHA

System location: Each borrower's graduation file is located in the County Office through which the borrower obtained his loan, and in some cases, at the State Office responsible for that County Office.

A list of State Offices and any additional States for which an office is responsible is included under the system titled "USDA/FmHA Applicant, Borrower or Grantee File." The addresses of State and County Offices are listed in the telephone directory of the appropriate city or town under the heading "United States Government, Department of Agriculture, Farmers Home Administration."

Categories of individuals covered by the system: All FmHA borrowers whose loans are eligible for review to determine whether the borrower should obtain credit from other sources. All borrowers who have been in debt for at least two years on an emergency loan, three years on an operating loan, or five years on a real estate loan are considered eligible for review.

Categories of records in the system: The system consists of files containing names of borrowers eligible for review, type of loan, whether graduation is advisable, and any communications with the borrower concerning whether the loan has been paid off or if the borrower is unable to refinance, as well as comments of the County Committee and the County Supervisor.

Authority for maintenance of the system: 7 U.S.C. 1921 et. seq., 42 U.S.C. 1471 et. seq. and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, or any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. "Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by name.

Safeguards: Records are kept in locked offices at all levels, and access is restricted to authorized FmHA personnel.

Retention and disposal: Records are retained for three years after the list of borrowers eligible for review was received by the County Supervisor.

System manager(s) and address: The County Supervisor and the State Director at the appropriate levels.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate System Manager. If the specific location of the record is not known, the individual should address his request to the Administrator, (Attention Freedom of Information Officer), USDA/FmHA, 14th & Independence Avenue, S.W., Washington, D.C. 20250, telephone (202) 447-2211. A request for information pertaining to an individual should contain: Name, address, State and county where loan was applied for or approved and particulars involved (i.e., date of request/approval, type of loan, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to one of the System Managers referred to in the preceding paragraph.

Contesting record procedures: Same as access.

Record source categories: Information in this system comes primarily from the borrower.

USDA/FmHA—6

System name: Housing Contractor Complaint File, USDA/FmHA.

System location: Complaints concerning housing contractors may be filed in the County and State Offices in any State or county in which the contractor had conducted business.

A list of State Offices and any additional State for which an office is responsible is included under the system titled "USDA/FmHA Applicant, Borrower or Grantee File." The addresses of State and County Offices are listed in the telephone directory of the appropriate city or town under the heading "United States Government, Department of Agriculture, Farmers Home Administration."

Categories of individuals covered by the system: All housing contractors who have performed work for FmHA borrowers and about whom the borrower has seen fit to file a complaint.

Categories of records in the system: The system consists of files containing borrowers' complaints concerning contractors.

Authority for maintenance of the system: 7 U.S.C. 1921 et. seq., 42 U.S.C. 1471 et. seq., and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. In addition, prospective FmHA borrowers and other interested parties may obtain information. Further, information contained in this file may be obtained for use in civil or administrative proceedings. "Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by the contractor or name of the construction company.

Safeguards: Records are kept in locked offices at all levels. Access at all levels is restricted to authorized FmHA personnel.

Retention and disposal: Records are maintained subject to the Federal Records Disposal Act of 1943 (44 U.S.C. 366-380) and in accordance with FmHA's disposal schedules. Records are retained for three fiscal years after the fiscal year of the complaint.

System manager(s) and address: The County Supervisor at the County Office level, and the State Director at the State Office level.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate System Manager. If the specific location of the record is not known, the individual should address his request to the Administrator, (Attention Freedom of Information Officer), USDA/FmHA, 14th & Independence Avenue, S.W., Washington, D.C. 20250, telephone (202) 447-2211. A request for information pertaining to an individual should contain: Name, address, and location where work was performed for FmHA borrowers.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to one of the System Managers referred to in the preceding paragraph.

Contesting record procedures: Same as access.

Record source categories: Information in this system comes primarily from the complainants.

USDA/FmHA—7

System name: Reserved Mineral Interests, USDA/FmHA

System location: This system is maintained at the National Office at the following address: USDA/FmHA, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Categories of individuals covered by the system: All FmHA borrowers' who purchased land with a FmHA loan prior to 1951 where FmHA retained mineral interests.

Categories of records in the system: The system consists of files containing borrower's name, county where property is located, fair market value of mineral interest at the time such interests were offered for sale, date of acceptance or rejection of governmental offer for sale of mineral interest, percentage of mineral interest owned by Federal Government, the date on which the borrower made a deposit for the purchase of the mineral interest, and the date on which such a deposit was refunded. Additionally, the file contains remarks generally pertaining to additional names which have been added to the title.

Authority for maintenance of the system: 7 U.S.C. 1921 et. seq., 42 U.S.C. 1471 et. seq., and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. The information is also available to interested parties. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by name.

Safeguards: Records are kept in locked offices. Access at all levels is restricted to authorized FmHA personnel.

Retention and disposal: Records are maintained subject to the Federal Records Disposal Act of 1943 (U.S.C. 366-380) and in accordance with FmHA's disposal schedules. Records will be retained permanently.

System manager(s) and address: The Administrator, Farmers Home Administration, USDA, 14th and Independence Avenue, S.W., Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager. A request for information pertaining to an individual should contain: Name, address, State and county loan was applied for/approved and particulars involved (i.e., date of request/approval, type of loan, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to one of the System Managers referred to in the preceding paragraph.

Contesting record procedures: Same as access.

Record source categories: Information in this system comes primarily from the borrower.

USDA/FmHA—8

System name: Tort Claims File, USDA/FmHA

System location: Each claimant's file is located in the office of the employee against whom the action was filed, the applicable State Office, and the National Office. A list of State Offices and any additional States for which an office is responsible is included under the system titled "USDA/FmHA Applicant, Borrower or Grantee File." The addresses of State and County Offices are listed in the telephone directory of the appropriate city or town under the heading "United States Government, Department of Agriculture, Farmers Home Administration." The National Office is located at the following address: USDA/FmHA, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Categories of individuals covered by the system: All claimants who have filed civil suits against employees of FmHA, or against the Federal Government including those filed under the Tort Claims Act as a result of circumstances involving the Farmers Home Administration.

Categories of records in the system: The system consists of files containing information as to the circumstances of the loss for which the claimant is seeking relief, opinion of the Office of General Counsel, USDA, and disposition of the case.

Authority for maintenance of the system: 7 U.S.C. 1921 et. seq., 42 U.S.C. 1471 et. seq., and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by claimant's name.

Safeguards: Records are kept in locked offices at all levels. Access at all levels is restricted to authorized FmHA personnel.

Retention and disposal: Records are maintained subject to the Federal Records Disposal Act of 1943 (44 U.S.C. 366-380) and in accordance with FmHA's disposal schedules. Records are retained for five years after the last written report or document was placed in the file.

System manager(s) and address: The County Supervisor at the County Office level, the State Director at the State Office level, and the Administrator, FmHA, for the National Office file.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate System Manager. If the specific location of the record is not known, the individual should address his request to the Administrator (Attention Freedom of Information Officer), USDA/FmHA, 14th & Independence Avenue, S.W., Washington, D.C. 20250, telephone (202) 447-2211. A request for information pertaining to an individual should contain: Name, address, defendant in the action, and date of the initiation of the action.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to one of the System Managers referred to in the preceding paragraph.

Contesting record procedures: Same as access.

Record source categories: Information in this file comes primarily from the claimant.

USDA/FmHA—9

System name: Training Files, USDA/FmHA

System location: Training files may be located at the FmHA Training Center, 1408 Asp Avenue, Norman, Oklahoma 73069, or the FmHA National Office, 14th & Independence Avenue, S.W., Washington, D.C. 20250.

Categories of individuals covered by the system: All persons who have received or applied for training at the FmHA Training Center and other locations if such training was to be at FmHA expense.

Categories of records in the system: Name of individual, date(s) of training, and course(s) taken or applied for are included in this record.

Authority for maintenance of the system: 7 U.S.C. 1921 et. seq., 42 U.S.C. 1471 et. seq., and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in a card file at Norman, Oklahoma and in file folders at the National Office.

Retrievability: Records are indexed by the name of the individual receiving/applying for training.

Safeguards: Records are kept in a locked office.

Retention and disposal: Retention is indefinite.

System manager(s) and address: Resident Manager, FmHA Training Center; Administrator, FmHA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate System Manager. Requests should include name and address.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the System Manager.

Contesting record procedures: Same as access.

Record source categories: Information in this system comes from the applicant.

USDA/FmHA—10

System name: Travel Records, USDA/FmHA

Security classification: Each traveler's file is located in the County Office in which he is employed, the State Office responsible for that County Office, or in the National or Finance Office if the traveler is employed at either of those levels.

A list of State Offices and any additional States for which an office is responsible is included under the system titled "USDA/FmHA Applicant, Borrower or Grantee File." The addresses of State and County Offices are listed in the telephone directory of the appropriate city or town under the heading "United States Government, Department of Agriculture, Farmers Home Administration."

Categories of individuals covered by the system: All FmHA employees and former employees whose travel expenses have been paid for by the Farmers Home Administration.

Categories of records in the system: The system consists of files containing employees' itineraries and travel vouchers.

Authority for maintenance of the system: 7 U.S.C. 1921 et seq., 42 U.S.C. 1471 et. seq., and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by name.

Safeguards: Records are kept in locked offices at all levels. Access at all levels is restricted to authorized FmHA personnel.

Retention and disposal: Records are maintained subject to the Federal Records Disposal Act of 1943 (44 U.S.C. 366-380) and in accordance with FmHA's disposal schedules. Records are disposed of two years after the fiscal year in which the travel occurred.

System manager(s) and address: The County Supervisor at the County Office level, the State Director at the State Office level, the Director of the Finance Office for Finance Office records, and the Administrator, FmHA, for the National Office file.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate system Manager. If the specific location of the record is not known, the individual should address his request to the Administrator (Attention Freedom of Information Officer), USDA/FmHA, 14th & Independence Avenue, SW., Washington, D.C. 20250, telephone (202) 447-2211. A request for information pertaining to an individual should contain: Name, address, and dates and places of employment.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to one of the System Managers referred to in the preceding paragraph.

Contesting record procedures: Same as access.

Record source categories: Information in this system comes primarily from the employee.

USDA/FCIC—1

System name: Accounts Receivable, USDA/FCIC

System location: National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114. A copy is also maintained in the applicable Regional Office for the State, and the office for the county of the Federal Crop Insurance Corporation, as well as the ASCS County Offices of the United States Department of Agriculture. Addresses of these field offices may be obtained from the Director, National Service Office, Kansas City, Missouri 64114.

Categories of individuals covered by the system: Individuals who are indebted to the Federal Crop Insurance Corporation.

Categories of records in the system: System consists of a master list of indebtedness by county and individual.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

(2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on computer printouts, magnetic tape, microfiche, and also in a card index in county ASCS offices.

Retrievability: Records are indexed by State, county, and name of individual.

Safeguards: Records are accessible only to authorized personnel and are maintained in offices which are locked during nonduty hours.

Retention and disposal: Records are maintained until the indebtedness is paid. Paper records for disposal are delivered to custodial services for disposal as waste paper. Magnetic tape records are erased.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

Notification procedure: An individual may request information regarding this system of records or information as to whether the system contains records pertaining to himself from the office for the county. Addresses of locations where records are maintained may be obtained from the Director, National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114. The request for information should contain: (1) Individual's name and address, (2) State(s) and county(ies) where he farms, and (3) the individual policy number, if known.

Record access procedures: An individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the Director, National Service Office, at the address in the preceding paragraph.

Contesting record procedures: Same as access procedure.

Record source categories: Information in this system comes from the individual debtor.

USDA/FCIC—2

System name: Inspector's Report (FCIC-26), USDA/FCIC

System location: Field Underwriting Offices and Regional Offices located below:

Federal Building, 200 NW Fifth Street, Oklahoma City, Oklahoma 73102.

2602 First Avenue North, Room 217, Billings, Montana 59101.

Room 239, 401 North Patterson Street, U.S. Post Office and Federal Building, Valdosta, Georgia 31601.

Federal Building and U.S. Courthouse, 600 East Monroe Street, Room 106, Springfield, Illinois 62701.

Room 301, 656 North State Street, Jackson, Mississippi 39201.
Room 121, Federal Building, Post Office Century Station, 300 Fayetteville Street Mall, Raleigh, North Carolina 27501.
Room 827, U.S. Postal Service Building, 180 East Kellog Boulevard, St. Paul, Minnesota 55101.
Room 310, Federal Office Building & Courthouse, 444 Southeast Quiney, Topeka, Kansas 66603.
Regional Offices:
Fresno, California
Indianapolis, Indiana
Springfield, Illinois
Des Moines, Iowa
Manhattan, Kansas
St. Paul, Minnesota
Jackson, Mississippi
Billings, Montana
Lincoln, Nebraska
Raleigh, North Carolina
Bismarck, North Dakota
Columbia, South Carolina
Huron, South Dakota
Nashville, Tennessee
College Station, Texas
Spokane, Washington
Addresses of each Regional Office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Federal Crop Insurance Corporation."

Categories of individuals covered by the system: Policyholders whose land productivity and/or farming practices are found to warrant a change in their acturial classification or individuals who have filed applications for insurance with the total anticipated liability which substantially exceeds the average for the area.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

(2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

(3) Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by State, county, and policy number.

Safeguards: Records are accessible only to authorized personnel and are maintained in offices which are locked during nonduty hours.

Retention and disposal: Records are normally retained for two years following the crop year in which the reports were prepared. Records for disposal are delivered to custodial services for disposal as waste paper.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

Notification procedure: An individual may request information regarding this system of records, or information as to whether the system contains records pertaining to himself from the Director, Acturial Division, Federal Crop Insurance Corporation, USDA, 8930 Ward Parkway, Kansas City, Missouri 64114, or the Field Underwriting Director at the appropriate address previously furnished. A request for information pertaining to an individual should contain (1) individual's name and address, (2) states(s) and county(ies) where farm(s) is located, and (3) the individual's policy number(s), if known.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as access procedure.

Record source categories: Information in this system comes sometimes from the applicant for insurance, the FCIC employee inspecting the farming operation, and in some cases, acreage and yield data obtained from the Agricultural Stabilization and Conservation Service.

USDA/FCIC—3

System name: Crop Insurance Actuarial Listing, USDA/FCIC

System location: Field Underwriting Offices, Valdosta, Georgia; Springfield, Illinois; Oklahoma City, Oklahoma; Billings, Montana; Jackson, Mississippi; Raleigh, North Carolina; St. Paul, Minnesota; Topeka, Kansas; Regional Offices located in

Fresno, California
Springfield, Illinois
Indianapolis, Indiana
Des Moines, Iowa
Manhattan, Kansas
St. Paul, Minnesota
Jackson, Mississippi
Billings, Montana
Lincoln, Nebraska
Raleigh, North Carolina
Bismarck, North Dakota
Columbia, South Carolina
Huron, South Dakota
Nashville, Tennessee
College Station, Texas
Spokane, Washington

Also individual offices for the county of the Federal Crop Insurance Corporation.

Addresses of each field office may be obtained from the telephone directories under United States Government, Department of Agriculture, Federal Crop Insurance Corporation.

Categories of individuals covered by the system: Individuals who produce specific crop(s) in the county.

Categories of records in the system: The system contains the name and address of the owner or operator of a farm, ASCS farm serial number, allotment or planted acres of the crop, and the actuarial classification for the crop(s).

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statue, or by rule, regulation or order issued pursuant thereto.

(2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

(3) Information in the system of records is on file and available to the public for inspection in the office for the county.

"(4) Disclosure may be made to a Congressional office from record of an individual in response to an inquiry from the Congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by state, county, crop, and name of operator/owner of ASCS farm serial number.

Safeguards: Records are available for public inspection in offices for the county. These offices are locked during nonduty hours.

Retention and disposal: Indefinite.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

Notification procedure: An individual may request information regarding this system of records or information as to whether the system contains records pertaining to himself from the office for the county. The addresses of the individual office for the county may be obtained from the Director, National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114. A request for information pertaining to an individual should contain (1) Individual's name and address, (2) state(s) and county(ies)

where farm(s) is located, (3) whether owner or operator, and (4) ASCS farm serial number.

Record access procedures: An individual may obtain information as to procedures for gaining access to a record in this system which pertains to him by submitting a written request to the Director, Actuarial Division, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114.

Contesting record procedures: Same as access procedure.

Record source categories: Information in this system comes from county ASCS offices, data obtained from producers and from Corporation records of producers' insurance experience.

USDA/FCIC—4

System name: Contact Report File—USDA/FCIC

System location: Federal Crop Insurance Corporation County offices throughout the United States. To obtain addresses of field offices contact: Manager, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C. 20250.

Categories of individuals covered by the system: Prospective policyholders.

Categories of records in the system: This system of records is comprised solely of the Contact Report (Form FCI-18) prepared by FCIC representatives during the sales presentation.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (3) Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in the office for the county in separate files or in the contract files.

Retrievability: Records are indexed by state, county, and individuals' names.

Safeguards: Records are accessible only to authorized personnel and are maintained in offices which are locked during nonduty hours.

Retention and disposal: These forms are retained for 3 years. Records for disposal are delivered to custodial services for disposal as waste paper.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

Notification procedure: An individual may request information regarding this system of records, or information as to whether the system contains records pertaining to himself from the Director, National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114 or the office representative at the appropriate office for the county. Addresses of locations where records are maintained may be obtained from the above office. A request for information pertaining to an individual should contain: (1) An individual's name and address, and (2) state(s) and county(ies) where farm(s) is located.

Record access procedures: An individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as access procedure.

Record source categories: Information in this system comes from prospective insureds and representatives of the Federal Crop Insurance Corporation.

USDA/FCIC—5

System name: Rejected Applications, USDA/FCIC

System location: Regional Offices located in: Fresno,, California; Springfield, Illinois; Indianapolis, Indiana; Des Moines, Iowa; Manhattan, Kansas; St. Paul, Minnesota; Jackson, Mississippi; Billings, Montana; Lincoln, Nebraska; Raleigh, North Carolina; Bismarck, North Dakota; Columbia, South Carolina; Huron, South Dakota; Nashville, Tennessee; College Station, Texas; and Spokane, Washington. Also individual offices for the county of the Federal Crop Insurance Corporation. The address of each field office may be obtained from the local telephone directory under the "United States Government, Department of Agriculture, Federal Crop Insurance Corporation."

Categories of individuals covered by the system: Producers whose applications for insurance have been rejected.

Categories of records in the system: System consists of the rejected application, related materials and correspondence received between the applicant and Federal Crop Insurance Corporation offices.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

(2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

(3) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders in the county and regional offices involved.

Retrievability: Records are indexed by individual names and crop years.

Safeguards: Records are accessible only to authorized personnel and are maintained in offices which are locked during non-duty hours.

Retention and disposal: Records are normally retained for 3 years following the crop year in which the file was prepared. Records for disposal are delivered to custodial services for disposal as waste paper.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

Notification procedure: An individual may request information regarding this system of records, or information as to whether the system contains records pertaining to himself from the office for the county. The addresses of the individual office for the county may be obtained from the Director, National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114. A request for information pertaining to an individual should contain (1) individual's name and address, (2) state(s), and county(ies) where farm(s) is located and (3) crop year in which application for insurance was rejected.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in this system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as access procedure.

Record source categories: Information in this system comes from prospective insureds and employees of the Federal Crop Insurance Corporation.

USDA/FCIC—6

System name: Insurance Contract Analysis, USDA/FCIC

System location: National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114; Field Underwriting Offices in Valdosta, Georgia; Springfield, Illinois; Oklahoma City, Oklahoma; Billings, Montana; Jackson, Mississippi; Raleigh, North Carolina; St. Paul, Minnesota; Topeka, Kansas; Regional offices at 16 different locations, and individual offices for the county of the Federal Crop Insurance Corporation. Addresses of each field office may be obtained from the Director, National Service

Office, Federal Crop Insurance Corporation, USDA, Kansas City, Missouri 64114.

Categories of individuals covered by the system: Individuals who have, or have had in the past, insurance with the Federal Crop Insurance Corporation.

Categories of records in the system: The system contains the name, crops insured by crop years, the amount of premium paid by the insured, the amount of indemnity paid to the insured, the cause of loss, loss ratio of each crop insured under the policy, the number of years no loss, the wheat bushel balance for premium discount purposes, the total number of years a premium was earned, and the number of years an indemnity was paid.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

(2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

(3) Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in bound books and on magnetic tape.

Retrievability: Records are indexed by state, county, and policy number.

Safeguards: Records are accessible only to authorized personnel and are maintained in offices which are locked during nonduty hours.

Retention and disposal: Records are maintained for 3 years after a policy is cancelled, except indefinite retention applies where the loss ratio for an individual crop was 1.20 or greater. Paper records for disposal are delivered to custodial services for disposal as waste paper. Magnetic tape records are erased.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

Notification procedure: An individual may request information regarding this system of records or information as to whether the system contains records pertaining to himself from the office for the county. Addresses of locations where records are maintained may be obtained from the Director, National Service Office, Federal Crop Insurance Corporation, Kansas City, Missouri 64114. A request for information should contain: (1) Individual's name, (2) state(s) and county(ies) where farm(s) is located, and (3) the individual policy number(s), if known.

Record access procedures: An individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as access procedure.

Record source categories: Information in this system is a summary of data obtained from insured producers.

USDA/FCIC—7

System name: Insurance Contract Files, USDA/FCIC

System location: National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114, and/or various offices for the county throughout the United States. To obtain addresses of the field offices, contact: Manager, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C. 20250.

Categories of individuals covered by the system: Individual farmers who participate in the Federal Crop Insurance program are included in this system of records.

Categories of records in the system: This system consists of a complete file containing all basic insurance documents; i.e., the application for insurance, the annual acreage report, inspection reports, claim forms, miscellaneous correspondence, etc. Selected data obtained from the basic insurance documents is also maintained on magnetic tape.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

(2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

(3) Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in individual file folders and on magnetic tape.

Retrievability: Records are indexed by state, county, and policy number.

Safeguards: Records are accessible only to authorized personnel and are maintained in offices which are locked during nonduty hours.

Retention and disposal: Records are maintained for 3 years following cancellation of the policy, except where there is an outstanding debt the file is retained 3 years following the year of the debt. Paper records for disposal are delivered to custodial services for disposal as waste paper. Magnetic tape records are erased.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250

Notification procedure: An individual may request information regarding this system of records, or information as to whether the system contains records pertaining to himself from the Director, National Service Office, Federal Crop Insurance Corporation, USDA, 8930 Ward Parkway, Kansas City, Missouri 64114.

Addresses of locations where records are maintained may be obtained from the above office or Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

A request for information pertaining to an individual should contain: (1) Individual's name and address, (2) state(s) and county(ies) where farm(s) is located, and (3) the individual policy number(s), if known.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as access procedure.

Record source categories: Information in this system comes primarily from individual insureds, Federal Crop Insurance Corporation employees and investigative personnel.

USDA/FCIC—8

System name: List of Ineligible Producers, USDA/FCIC

System location: National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114; Field Underwriting Offices; Offices of Regional Directors; and each office for the county of the Federal Crop Insurance Corporation. Addresses of each field office may be obtained from the Director, National Service Office, Federal Crop Insurance Corporation, USDA, Kansas City, Missouri 64114.

Categories of individuals covered by the system: Individuals who have been determined as not eligible for Federal Crop Insurance on specific crop(s) due to excessive losses, questionable farming practices, or who have had contracts voided due to suspected or apparent fraud.

Categories of records in the system: Record contains only lists of names of producers and prior policy numbers, if any, for a specific state and country.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

(2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

"(3) Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders by county, and on magnetic tape.

Retrievability: Records are indexed by state, county, and name of individual.

Safeguards: Records are accessible only to authorized personnel and are maintained in offices which are locked during nonduty hours.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

Notification procedure: An individual may request information regarding this system of records, or information as to whether the system contains records pertaining to himself from the Director, National Service Office, Federal Crop Insurance Corporation, USDA, 8930 Ward Parkway, Kansas City, Missouri 64114.

Addresses of locations where records are maintained may be obtained from the above office or Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

A request for information pertaining to an individual should contain: (1) Individual's name and address, (2) state(s) and county(ies) where farm(s) is located, and (3) the individual policy number(s), if known.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as access procedure.

Record source categories: Information in this system comes from reports of inspections made by FCIC personnel of producers' operations and from records of previous insurance experience.

USDA/FCIC—9

System name: Listing of Indemnities Paid, USDA/FCIC

System location: National Service Office, Federal Crop Insurance Corporation, 8930 Ward Parkway, Kansas City, Missouri 64114. A copy is also sent to the applicable County Courthouse and ASCS County Office of the United States Department of Agriculture. Addresses of these offices may be obtained from the Director, National Service Office, Kansas City, Missouri.

Categories of individuals covered by the system: Persons who were paid an indemnity by the Federal Crop Insurance Corporation for the crop year.

Categories of records in the system: Record contains name of policyholder who was paid an indemnity, policy number, and total amount of indemnity(ies) paid for the crop year.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 7 CFR 2.67.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to county courthouses for posting on public bulletin boards. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on bulletin boards.

Retrievability: Records are indexed by policy number and name of insured.

Safeguards: None.

Retention and disposal: County courthouse retention is at the discretion of county judge. Records in ASCS office are maintained for one year.

System manager(s) and address: Manager, Federal Crop Insurance Corporation, USDA, Washington, D.C. 20250.

Notification procedure: An individual may determine whether or not there is information pertaining to him on the list by inspecting the posted list in the county courthouse or county ASCS office.

Record access procedures: An individual may gain access to records pertaining to him as specified above.

Contesting record procedures: He may contest the record by contacting the Manager, Federal Crop Insurance Corporation, at the address above.

Record source categories: Information in this system comes from data supplies by insured producers.

USDA/FGIS—1

System name: Employment History Records for Licensed Non-federal Employees, USDA/FGIS.

System location: Federal Grain Inspection Service, USDA, 14th and Independence Avenue SW., Washington, D.C. 20250.

Categories of individuals covered by the system: Commodity Inspectors, Graders, Weighers, Samplers, Technicians.

Categories of records in the system: This system consists of such information as applications for license, license files, biographical data, periods of employment, performance ratings, commodities qualified to inspect, grader's powers of attorney, recommendations for reemployment, factors which affect or might affect desirability as an inspector supervisory potential, declaration sheets, preference sheets, current, expired, and voided licenses, license examination and score sheets, license renewal score sheets, miscellaneous notes and memoranda, e.g., transfers, cancellations, corrective action letters, letters of caution or warning, inspection/grading performance/productivity data, letters of suspension, indictment, complaint, proposals to revoke license, etc. Content and extent of these records vary by commodity, program and season.

Authority for maintenance of the system: 7 U.S.C. 71 et seq. 1621, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to: (1) States or other Federal agencies to determine verification of employment or length of service for retirement purposes; (2) The Civil Service Commission for required records and reports, (3) The Government Accounting Office for required records and reports; (4) The Department of Justice for required records and reports; (5) The appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto: (6) A court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, notebooks, and cardex files.

Retrievability: Records are indexed by name of licensee, and/or license number.

Safeguards: Government office buildings, locked and unlocked file cabinets and locked offices.

Retention and disposal: Records maintained indefinitely or until separation or retirement or in accordance with prescribed retention schedule. They are destroyed in conformance with prescribed retention schedules. These records schedules have been implemented by Agricultural Marketing Service Instruction 270-1, Records Management Program.

System manager(s) and address: Division Director, Compliance Division, Federal Grain Inspection Service, U.S. Department of Agriculture, Washington, D.C. 20250

Notification procedure: Any individual may request information concerning himself from this system from the System Manager.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the system that pertains to him by submitting a request to the System Manager.

Contesting record procedures: Any individual may obtain information as to the procedure for contesting a record in the system that pertains to him by submitting a request to the System Manager.

Record source categories: Information in this System comes primarily from licensees, supervisors, with additional data provided by references and investigative personnel.

USDA/FGIS—2

System name: Investigations undertaken by the Government pursuant to the United States Grain Standards Act of 1976, or the Agricultural Marketing Act of 1946, USDA/FGIS.

System location: Federal Grain Inspection Service, United States Department of Agriculture, Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who are regulated by the subject Acts and who have been investigated for possible violations of the Acts and/or against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intra and interdepartmental recommendations pertaining to an alleged violation of the subject Acts.

Authority for maintenance of the system: 7 U.S.C. 71 et seq, 1621 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, or local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, law, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations. (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate, or administrative tribunal. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in the file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Government office buildings, locked offices or locked file cabinets.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration disposal schedules, as implemented by AMS Instruction 270-1, Records Management Program.

System manager(s) and address: Compliance Division Director at the address cited in the System location.

Systems exempted from certain provisions of the act: the system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirement of 5 U.S.C. 552a(c)(3), (d), (e)(4)(G), (H), and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/FGIS—3

System name: Subsidiary Personnel and Pay Records, USDA/FGIS.

System location: Federal Grain Inspection Service, United States Department of Agriculture, Washington, D.C. 20250, and Region, and Field Offices at locations listed in the Federal Grain Inspection Service Field Office Listing publication.

Categories of individuals covered by the system: Present and former employees and applicants for reemployment with the Federal Grain Inspection Service.

Categories of records in the system: The system consists of copies of materials maintained in Official Personnel Folders, such as personnel action documents, applications for employment, education and training data, performance and appraisal ratings, as well as time and attendance reports, earnings statements, and service record cards.

Authority for maintenance of the system: 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) By agency officials for purposes of review in connection with appointments, promotions, within-grade increases, training, transfers, and determination of qualification of an individual. (2) To provide information to a prospective employer of a Federal Government employee or former Federal Government employee or to an organization at the request of the individual. (3) Referral to the Civil Service Commission, Department of Labor, and Office of Management and Budget for required records and reports. (4) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (5) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within this system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (6) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal. (7) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders and on file cards at the applicable addresses listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Government office buildings, locked offices, or locked file cabinets.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration disposal schedules and implemented by AMS Instruction 270-1, Records Management Program.

System manager(s) and address: Director, Personnel Division, AMS, USDA, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Notification procedure: Any individual may request information concerning himself from this system from the Personnel Division Director or from the individual's supervisor at the appropriate office having custody of his records. A request for information should be addressed to Director, Personnel Division or to the Officer-in-Charge, as appropriate, at the address shown under Location and should contain: Name, address, and particular information requested.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the System which pertains to him by submitting a written request to the Director, Personnel Division or to the appropriate Officer-in-Charge referred to in the preceding paragraph.

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the System which pertains to him be submitting a written request to the Director, Personnel Division or to the appropriate Officer-in-Charge referred to in the preceding paragraph.

Record source categories: Information in this System comes from the individual to whom it applies or is derived from information the individual supplied except information provided by agency officials on performance, appraisal, pay, leave, and allowance records.

USDA/FGIS—4

System name: Nonviolation Case File System on individuals subject to the U.S. Grain Standards Act or Agricultural Marketing Act of 1946, USDA/FGIS.

System location: Federal Grain Inspection Service, U.S. Department of Agriculture, Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who are regulated by the subject Acts and who have been referenced in an investigation or other information for possible violations of the Acts or other Federal law with respect to the handling, weighing, or official inspection of grain.

Categories of records in the system: Information on individuals who are subject to the rules of the U.S. Grain Standards Act or the Agricultural Marketing Act of 1946, and activities which might lead to possible violations of these Acts or violations of other Federal law with respect to the handling, weighing, or official inspection of grain.

Authority for maintenance of the system: 7 U.S.C. 71 et. seq., 1621 et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Use of such records will be limited to authorized personnel of the Federal Grain Inspection Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in the file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual in chronological sequence, by fiscal year.

Safeguards: Government office buildings, locked office or locked file cabinets.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration disposal schedules as implemented by AMS Instruction 270–1, Records Management Program.

System manager(s) and address: Director, Compliance Division, Federal Grain Inspection Service, U.S. Department of Agriculture, Washington, D.C. 20250.

Notification procedure: Any individual may request information concerning himself from this system from the System Manager.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the system that pertains to him by submitting a request to the System Manager.

Contesting record procedures: Any individual may obtain information as to the procedure for contesting a record in the system that pertains to him by submitting a request to the System Manager.

Record source categories: Information in this system comes primarily from complaints, case file review, investigative reports, Agency employees, and the news media.

USDA/FGIS–5

System name: Occupational injury/illness and motor vehicle accident case files for U.S. Department of Agriculture (USDA), Federal Grain Inspection Service (FGIS) employees.

System location: USDA, FGIS, Safety and Health Office, Kansas City, Missouri.

Categories of individuals covered by the system: Any FGIS employee who suffers an occupational injury/illness or is involved in a motor vehicle accident while in performance of official duties.

Categories of records in the system: All forms, correspondence and other data pertinent to processing of illness/injury claims and motor vehicle accident reports.

Authority for maintenance of the system: The Occupational Safety and Health Act of 1970 Pub. L. 91–596, Sec. 19, E.O. 11807 and E.O. 12196, Federal Employees Compensation Act, as amended (5 U.S.C. 810; et seq.), and 29 CFR Part 1960.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Use of records will be limited to FGIS employees authorized to assist employees with processing claims for occupational injury and illness under the Federal Employees Compensation Act as amended; submit, in accordance with the Occupational Safety and Health Act of 1970, an annual report of all occupational injury and illnesses which occur within the Agency to the Department of Labor for them to evaluate incidence of injuries and the incidence and nature of illnesses occurring in the Federal Sector; and to develop statistics for analysis of accident and injury rates in the Agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in individual file folders at address listed above.

Retrievability: Records are indexed alphabetically by last name of individual, by FGIS Regional Office, and by calendar year.

Safeguards: Records are maintained in government office building, in locked office or locked file cabinet.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration disposal schedules as implemented by AM3/FGIS Instruction 270–1, Records Management Program.

System manager(s) and address: Director, Safety and Health Office, USDA, FGIS, Kansas City, Missouri.

Notification procedure: Any individual may request information concerning their records by contacting the system manager.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the system that pertains to him/her from the system manager.

Contesting record procedures: Any individual may obtain information as to the procedure for contesting a record in the system that pertains to him/her from the system manager.

Record source categories: Information contained in the system is obtained from employees, their supervisors, physicians, and U.S. Department of Labor, Office of Workers' Compensation Programs (OWCP) claim forms and correspondence.

USDA/FNS—1

System name: Civil Rights Complaints and Investigations—USDA/FNS

System location: Office of Civil Rights and Equal Employment Opportunity, Food and Nutrition Service, United States Department of Agriculture, 500 12th St., SW., Room 750, Washington, D.C. 20250, and FNS Regional Offices located in: Atlanta, Georgia which covers the States of Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee; Burlington, Massachusetts which covers the States of Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, and Vermont; Chicago, Illinois which covers the States of Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin; Dallas, Texas which covers the States of Arkansas, Louisiana, New Mexico, Oklahoma, and Texas; Denver, Colorado which covers the States of Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming; Robbinsville, New Jersey which covers the States of Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, Virginia, Virgin Islands, and West Virginia; and San Francisco, California which covers the States of Alaska, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, American Samoa, Trust Territories of the Pacific, and Washington.

The address of each Regional Office is listed in the telephone directory of the respective cities listed above under the heading "United States Government, Department of Agriculture, Food and Nutrition Service."

Categories of individuals covered by the system: Included in this system are (1) files of persons who have alleged discrimination of the type prohibited by Title VI of the Civil Rights Act of 1964 and subsequent regulations; (2) files, names and case numbers, and case file information regarding State or local agency compliance with Title VI (includes names and case numbers referencing individuals who have been contacted or whose case files have been reviewed to ascertain a State's compliance).

Categories of records in the system: The system consists of records on individual complaints alleging discrimination and includes: (1) Evidentiary information to disprove or substantiate the allegations; (2) Sources of information; (3) Statements from witnesses; and (4) Statistical data supplied by the State or local agency.

Authority for maintenance of the system: 42 U.S.C. 2000 d-1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto; (2) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; and (3) Staff evaluations of the availability of FNS food assistance programs without regard to race, color, national origin, religious belief, or political affiliation. "Disclo-

sure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable addresses listed above.

Retrievability: Civil Rights complaints are indexed by State and complainant's name. Office of Investigation reports are indexed by complainant's name and investigation number.

Safeguards: Records are kept in either locked filing cabinets or in locked offices.

Retention and disposal: Closed cases are retained for one fiscal year following the end of the fiscal year in which they are closed. Thereafter, they are transferred to Federal Records Centers and maintained for three additional fiscal years before disposal.

System manager(s) and address: Director, Office of Civil Rights and Equal Employment Opportunity, Food and Nutrition Service, United States Department of Agriculture, Washington, D.C. 20250 (202-447-8410), or the appropriate Regional Administrator at the address listed above.

Notification procedure: An individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate manager as set forth in the preceding paragraph.

A request for information pertaining to an individual should contain the name and address of the individual, and whether the records were compiled as a result of a complaint or an FNS compliance review.

Record access procedures: An individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate system manager listed above. The envelope and the letter should be marked "Privacy Act Request."

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, the reasons for contesting it, and the proposed amendment to the information.

Record source categories: Information in this system comes primarily from complainants, witnesses, agency employees, and investigative personnel.

Systems exempted from certain provisions of the act: This material has been exempted in 7 C.F.R. 1.23 pursuant to 5 U.S.C. 552 a(k)(2) from the requirements of subsections (c)(3), (d), (G), and (H). The above system contains information received under an express or implied promise of confidentiality, or investigative techniques, processes, or procedures, the disclosure of which could be detrimental to legitimate agency functions.

USDA/FNS—2

System name: Food Stamp Program Inquiries and Complaints—USDA/FNS

System location: FNS Regional Offices located in: Atlanta, Georgia which covers the States of Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee; Burlington, Massachusetts which covers the States of Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, and Vermont; Chicago, Illinois which covers the States of Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin; Dallas, Texas which covers the States of Arkansas, Louisiana, New Mexico, Oklahoma, and Texas; Denver, Colorado which covers the States of Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming; Robbinsville, New Jersey which covers the States of Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, Virginia, Virgin Islands, and West Virginia; and San Francisco, California which covers the States of Alaska, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, American Samoa, Trust Territories of the Pacific, and Washington.

The address of each Regional Office is listed in the telephone directory of the respective cities listed above under the heading "United States Government, Department of Agriculture, Food and Nutrition Service."

Categories of individuals covered by the system: Recipients and other persons dissatisfied with or seeking information about local Food Stamp Program policy and procedures.

Categories of records in the system: The system consists of copies of each complaint or inquiry and the resulting documentation gathered in responding to it.

Authority for maintenance of the system: 78 STAT. 703 as amended; 7 U.S.C. 2011-2025; and 7 CFR 270, 271.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Serves as a record of action taken and as resource information to determine trends and patterns; (2) Referral to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto; and (3) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the addresses listed above.

Retrievability: Records are indexed by State, name of individual, and food stamp project area.

Safeguards: Records are kept either in locked file cabinets or locked offices.

Retention and disposal: Cases remain in the agency's files until the end of the fiscal year following the fiscal year in which they are closed; thereafter they are transferred to Federal Record Centers and maintained for three additional years before disposal.

System manager(s) and address: Regional Food Stamp Program Directors at the addresses listed above.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the appropriate system managers as set forth in the preceding paragraph. A request for information should contain name, address, and particulars involved (i.e., the date of action giving rise to the inquiry, complaint, etc.)

Record access procedures: An individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate system manager as set forth in the preceding paragraph. The envelope and the letter should be marked "Privacy Act Request".

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, the reasons for contesting it, and the proposed amendment to the information.

Record source categories: Information in this system comes primarily from recipient and non-recipient inquiries and complaints, case file review, collateral contacts, and investigative reports.

USDA/FNS—3

System name: Claims Against Food Stamp Recipients—USDA/FNS.

System location: Claims Branch, Central Accounting Division, Food and Nutrition Service, United States Department of Agriculture, Room 105, West Auditors Building, Washington, D.C. 20250, and FNS Regional Offices located in: Atlanta, Georgia which covers the States of Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee; Burlington, Massachusetts which covers the States of Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, and Vermont; Chicago, Illinois which covers the States of Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin; Dallas, Texas which covers the States of Arkansas, Louisiana, New Mexico, Oklahoma, and Texas; Denver, Colorado which covers the States of Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming; Robbinsville, New Jersey which covers the States of Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, Virginia, Virgin Islands, and West Virginia; San Francisco, California which covers the States of Alaska, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, American Samoa, Trust Territories of the Pacific, and Washington.

The address of each Regional Office is listed in the telephone directory of the respective cities listed above under the heading "United States Government, Department of Agriculture, Food and Nutrition Service."

Categories of individuals covered by the system: Individuals who have received food stamps to which they are not entitled due to excess income, excess resources, household size reported incorrectly, etc.

Categories of records in the system: The system consists of Claim Determinations and supporting documents prepared by the State showing amounts due FNS and the basis for the claim. An individual file is maintained on each recipient showing amount of claim and a running balance of amounts paid until claim is paid in full.

Authority for maintenance of the system: 78 STAT. 703 as amended; 7 U.S.C. 2011-2025; 7 CFR 271.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Establish accounts receivable for money due FNS; (2) Referral to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto; and (3) Referral to a court magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the addresses listed above.

Retrievability: Records are filed by name of recipient, County, and State.

Safeguards: Records are kept either in locked file cabinets or in locked offices.

Retention and disposal: Cases remain in the active files until the end of the fiscal year following the fiscal year in which they are closed. Thereafter they are transferred to Federal Records Centers and maintained for three additional fiscal years before disposal.

System manager(s) and address: Director, Central Accounting Division, Food and Nutrition Service, United States Department of Agriculture, Washington, D.C. 20250 (202-447-6990), or the appropriate Regional Food Stamp Program Director at the addresses listed above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate system manager as set forth in the preceding paragraph. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to claim, date claim was filed, correspondence, etc.)

Record access procedures: An individual may obtain information as to the procedure for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate system manager listed above. The envelope and letter should be marked "Privacy Act Request."

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, the reasons for contesting it, and the proposed amendment to the information.

Record source categories: Information in this system comes primarily from investigations made by Office of Investigation, audits conducted by Office of Audit, food stamp application and participation records, collateral contacts, and State agency personnel.

Systems exempted from certain provisions of the act: This material has been exempted in 7 C.F.R. 1.23 pursuant to 5 U.S.C. 552a(k)(2) from the requirements of subsections (c)(3), (d), (G), and (H). The above system contains information recieved under an express or implied promise of confidentiality, or investigative techniques, processes, or procedures, the disclosure of which could be detrimental to legitimate agency functions.

USDA/FNS—4

System name: Food Stamp Recipient Refunds—USDA/FNS

System location: Fiscal Branch, Central Accounting Division, Food and Nutrition Service, United States Department of Agriculture, Room 105 West Auditors Building, Washington, D.C. 20250, and FNS Regional Offices located in: Atlanta, Georgia which covers the States of Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee; Burlington, Massachusetts which covers the States of Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, and Vermont; Chicago, Illinois which covers the States of Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin; Dallas, Texas which covers the States of Arkansas, Louisiana, New Mexico, Oklahoma, and Texas; Denver, Colorado which covers the States of Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming; Robbinsville, New Jersey which covers the States of Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, Virginia, Virgin Islands, and West Virginia; San Francisco, California which covers the States of Alaska, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, American Samoa, Trust Territories of the Pacific, and Washington.

The address of each Regional Office is listed in the telephone directory of the respective cities listed above under the heading "United States Government, Department of Agriculture, Food and Nutrition Service."

Categories of individuals covered by the system: Individuals who request refunds from FNS of: (1) The proportionate purchase price paid for food stamps purchased but not used; or (2) The amount they have been inadvertently overcharged for their food stamps.

Categories of records in the system: (1) Form FNS-288, Request for Reimbursement for Unused Food Coupons, required documentation and signatures, as applicable, to the specific reason for the request; and issuance, required documentation and signatures, as applicable to the refund.

Authority for maintenance of the system: 78 STAT. 703 as amended; 7 U.S.C. 2011-2025; 7 CFR 271.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Establish eligibility for reimbursement to recipient or agent; (2) Referral to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting a violation of law or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto; and (3) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders and file cabinets at the address listed above.

Retrievability: Records are filed by date and month of payment and by name of recipient or his agent.

Safeguards: Records are kept either in locked cabinets or locked offices.

Retention and disposal: Closed cases are retained for one fiscal year following the end of the fiscal year in which they are closed. Thereafter, they are transferred to Federal Records Centers and maintained for three additional fiscal years before disposal.

System manager(s) and address: Director, Central Accounting Division, Food and Nutrition Service, United States Department of Agriculture, Washington, D.C. 20250 (202-447-6990), or the appropriate Regional Food Stamp Program Director at the addresses listed above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate system manager as set forth in the preceding paragraph. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to claim, date claim was filed, correspondence, etc.)

Record access procedures: An individual may obtain information as to the procedure for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate system manager. The envelope and letter should be marked "Privacy Act Request."

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their re-

quest to the System Manager listed above, the reasons for contesting it, and the proposed amendment to the information.

Record source categories: Information in this system comes primarily from State agency records and collateral contacts by claims reviewers.

USDA/FNS—5

System name: Investigations of Fraud, Theft, or Other Unlawful Activities of Individuals Involving Food Stamps—USDA/FNS

System location: Office of the Deputy Administrator for Family Nutrition Programs, Food and Nutrition Service, United States Department of Agriculture, 500 12th St., S.W., Room 758, Washington, D.C. 20250, and FNS Regional Offices located in: Atlanta, Georgia which covers the States of Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee; Burlington, Massachusetts which covers the States of Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, and Vermont; Chicago, Illinois which covers the States of Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin; Dallas, Texas which covers the States of Arkansas, Louisiana, New Mexico, Oklahoma, and Texas; Denver, Colorado which covers the States of Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming; Robbinsville, New Jersey which covers the States of Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, Virginia, Virgin Islands, and West Virginia; San Francisco, California which covers the States of Alaska, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, American Samoa, Trust Territories of the Pacific, and Washington.

The address of each Regional Office is listed in the telephone directory of the respective cities listed above under the heading "United States Government, Department of Agriculture, Food and Nutrition Service."

Categories of individuals covered by the system: Individuals who have been investigated for fraudulently obtaining food stamps, stealing food stamps or engaged in other unlawful activities in involving food stamps are included in this system of records.

Categories of records in the system: The system consists of files on individuals, including investigation reports, police reports, court records, agency reports, and claim determinations as appropriate.

Authority for maintenance of the system: 78 STAT. 703 as amended; 7 U.S.C. 2011-2025; and 7 CFR 271-273.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecutng a violation of law, or of enforcing or implementing the statue, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto; (2) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (3) Referral to Finance and Program Accounting Division, FNS for appropriate fiscal action; and (4) Analysis of patterns, trends, and problem areas. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the locations previously named.

Retrievability: Records are indexed by name, State, and fiscal year of receipt.

Safeguards: Records are kept in either locked file cabinets or in locked offices. Only persons who have specific responsibility in their use have access to them.

Retention and disposal: Cases remain in the active files until the end of the fiscal year following the fiscal year in which they are closed. Thereafter, they are transferred to Federal Records Centers and maintained for three additional fiscal years before disposal.

System manager(s) and address: Deputy Administrator for Family Nutrition Programs, Food and Nutrition Service, United States Department of Agriculture, Washington, D.C. 20250 (202-447-8982), or the appropriate Regional Food Stamp Program Director at the addresses listed above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the system manager as set forth in the preceding paragraph, or the appropriate Regional Food Stamp Program Director at the addresses listed above. A request for information pertaining to an individual should contain the name and address of the individual and whether it involved a complaint or has reference to a compliance review which may have been conducted.

Record access procedures: An individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate system manager listed above. The envelope and letter should be marked "Privacy Act Request."

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, the reasons for contesting it, and the proposed amendment to the information.

Record source categories: Information in this system comes primarily from complainants, witnesses, agency employees, and investigative personnel.

Systems exempted from certain provisions of the act: This material has been exempted in 7 CFR 1.23 pursuant to 5 U.S.C. 552 a (k)(2) from the requirements subsection (c)(3), (d), (G), and (H). The above system contains information received under an express or implied promise of confidentiality, or investigative techniques, processes, or procedures, the disclosure of which could be detrimental to legitimate agency functions.

USDA/FNS—6

System name: Quality Control Subsample of Nonassistance Households Participating in the Food Stamp Program—USDA/FNS

System location: Quality Control and Evaluation Branch, Family Nutrition Programs, Food and Nutrition Service, United States Department of Agriculture, 500 12th St., S.W., Room 678, Washington, D.C. 20250 and FNS Regional Offices located in: Atlanta, Georgia which covers the States of Alabama, Florida, Georgia, kentucky, Mississipi, North Carolina, South Carolina, and Tennessee; Burlington, Massachusetts which covers the States of Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, and Vermont; Chicago, Illinois which covers the States of Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin; Dallas, Texas which covers the States Arkansas, Louisiana, New Mexico, Oklahoma, and Texas; Denver, Colorado which covers the States of Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming; Robbinsville, New Jersey which covers the States of Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, Virginia, Virgin Islands, and West Virginia; San Francisco, California which covers the States of Alaska, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, American Samoa, Trust Territories of the Pacific, and Washington.

The address of each Regional Office is listed in the telephone directory of the respective cities listed above under the heading "United States Government, Department of Agriculture, Food and Nutrition Service."

Categories of individuals covered by the system: Nonassistance households (those in which not all members are receiving public assistance) which are participating in the Food Stamp Program or those households which have been terminated from the program or denied benefits.

Categories of records in the system: The system consists of subsamples of records containing personal household circumstances and financial information originally obtained from selected samples of individual households by each State's food stamp quality control staff and validated by FNS quality control personnel.

Authority for maintenance of the system: 78 STAT. 703 as amended; 7 U.S.C. 2011-2025; 7 CFR 271.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Assessing the operation of State food stamp quality control system as a basis for improvement; (2) Testing the validity of State quality control findings; (3) Projecting national error rates; (4) Identifying trends toward potential system problems and high error areas; (5) Referral to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto; and (6) Referral

to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in the proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable addresses listed above.

Retrievability: Records are indexed by State and household name.

Safeguards: Records are kept in either locked filing cabinets or in locked offices.

Retention and disposal: Records are retained for one fiscal year following the end of the fiscal year in which the reviews are completed. Thereafter, they are transferred to Federal Records Centers and maintained for three additional fiscal years before disposal.

System manager(s) and address: Deputy Administrator for Family Nutrition Programs, Food and Nutrition Service, United States Department of Agriculture, Washington, D.C. 20250 (202-447-8982) or the appropriate Regional Food Stamp Program Director at the addresses listed above.

Notification procedure: An individual may request information regarding this system or records, or information as to whether the system contains records pertaining to him from the system manager as set forth in the preceding paragraph, or the appropriate Regional Food Stamp Program Director at the address listed above. A request for information pertaining to an individual should contain name, address, dates of participation in the Food Stamp Program, and date of contact by the Federal reviewer, if available.

Record access procedures: An individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate system manager listed above. The envelope and letter should be marked "Privacy Act Request."

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, the reasons for contesting it, and the proposed amendment to the information.

Record source categories: Information in this system comes primarily from participants in the Food Stamp Program and through collateral contacts by quality control reviewers to verify financial and other circumstances as they relate to the household's application for, or participation in, the Food Stamp Program.

USDA/FNS—7

System name: Food Service Management Company Registration System for the Summer Food Service Program for Children—USDA/FNS.

System location: Special Feeding Programs Branch, Child Nutrition Division, Food and Nutrition Service, U.S. Department of Agriculture, 201 14th Street SW., Room 3300-B, Washington, D.C. 20250.

Categories of individuals covered by the system: Included in this system are, for food service management companies applying for registration in the Summer Food Service Program for Children, past (within 3 years) and present (1) company owners, directors, officers, and (2) local officials responsible for the operation of the food preparation facilities and (3) any of the persons listed in (1) or (2) who have any relationship to any Summer Food Service Program for Children sponsor or any food service management company which participated in the Program in the last 3 years. For the purposes of this Program, relationship shall be defined as: to his knowledge he or his immediate family, partners or organization in which his immediate family or partner has a financial or other interest, or with whom he is negotiating or has any arrangements concerning prospective employment, with or without payment.

Categories of records in the system: The system consists of name and social security number (when provided) of (1) and (2) of the preceding paragraph, and name, company or sponsor name of relation, name of relations and relationship of (3) of the preceding paragraph.

Authority for maintenance of the system: 42 U.S.C. 1771

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to State agencies and Food and Nutrition Service Regional Offices, upon request, charged with the responsibility of determining registration or nonregistration of food service management companies; (2) Referral to the appropriate agency, whether Federal, State or local, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulations, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto; (3) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; and (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and magnetic tapes.

Retrievability: Records can be retrieved by food service management company name, by number assigned to the food service management company, by an individual's social security number, and by an individual's name.

Safeguards: Records are kept in either locked filing cabinets or in locked offices. The computer tapes will have a password master file access, and the tapes will be kept in locked filing cabinets or in locked offices.

Retention and disposal: Records are maintained for two years following the year of application for registration. Thereafter, they are transferred to Federal Archives and Records Centers and maintained for three additional fiscal years before disposal.

System manager(s) and address: Manager, Child Nutrition Programs, Food and Nutrition Service, United States Department of Agriculture, Washington, D.C. 20250 (202-447-8130).

Notification procedure: An individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the appropriate manager as set forth in the preceding paragraph. A request for information pertaining to an individual should contain the individual's name, and if known the name of the food service management company(s) which supplied the information pertaining to him.

Record access procedures: An individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate system manager listed above. The envelope and the letter should be marked "Privacy Act Request."

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the system manager listed above, the reasons for contesting it, and the proposed amendment to the information.

Record source categories: Information in this system is provided by food service management companies which apply for registration in the Program and the applicable State agencies or Food and Nutrition Service Regional Offices.

USDAS/FSQS—1

System name: Meat and Poultry Inspection Program—Slaughter, Processing and Allied Industries Compliance Records System, USDA/FSQS.

System location: Food Safety and Quality Service, USDA, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals engaged in the slaughter of meat or poultry animals; or the preparation, transportation, storage, or distribution of meat or poultry products, or similar activities are included in this system of records.

Categories of records in the system: The system consists of: investigatory files concerning alleged violations of the Federal Meat and Poultry Inspection Acts and related laws; investigatory files compiled for enforcement of provisions of the Federal Meat and Poultry Inspection Acts concerning detention or seizure of alleged violative product; correspondence, allegations, inquiries, reports of actions taken, complaints and similar records concerning alleged violations of enforcement actions; records compiled to carry out provisions of 21 U.S.C. 671 and 21 U.S.C. 467 concerning the refusal to provide or withdrawal of inspection service from unfit applicants as defined by law; includes application forms, notations of past violations, court records, and other documentation; files microfilm and computer records concerning systematic reviews conducted at the places of business of individuals covered by the records system.

Authority for maintenance of the system: 21 U.S.C. 451 et seq., and 601 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (3) Referral to the Department of Justice for the defense of suits against the United States or its officers, or for the institution of suits for the recovery of claims by the United States Department of Agriculture. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders, cards, microfilm, magnetic tape and computer printouts.

Retrievability: All categories of records concerning enforcement actions are cross referenced through an alphabetical name index system. Files on violations and other enforcement actions are indexed alphabetically by name and by year of violation. Printouts and microfilm records are alphabetically arranged with unique number identifiers assigned as well.

Safeguards: Records are maintained in locked file cabinets with attendants on duty during normal operating hours.

Retention and disposal: Active records are maintained indefinitely. Closed cases are retired to records storage centers after 3 years unless reopened. Microfilm and computer records are maintained indefinitely. Computer printouts are destroyed after 6 months.

System manager(s) and address: Privacy Act Coordinator, USDA/FSQS, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). See 7 CFR 1.23. Individual access to these records would impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action to escape prosecution. Any individual who feels, however, that he has been denied any right, privilege or benefit for which he would otherwise be eligible as a result of the maintenance of such material may request access to the material. Such requests should be addressed to: Privacy Act Coordinator, Legislative and Special Assignments Staff, USDA/FSQS, 14th and Independence Avenue, SW., Washington, D.C. 20250.

USDA/FSQS—2

System name: Employment History Records for Licensed Non-Federal Employees.

System location: Food Safety and Quality Service, USDA, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Categories of individuals covered by the system: Commodity Inspectors, Graders, Weighers, Classers, Collaborators, Licensed Plant Employees, Agents, Appointees, Samplers.

Categories of records in the system: This system consists of such information as applications for license, license files, bonding records, biographical data, periods of employment, performance ratings, commodities qualified to inspect, grader's powers of attorney, recommendations for reemployment, factors which affect or might affect desirability as an inspector, supervisory potential, declaration sheets, preference sheets, current, expired, and voided score sheets, miscellaneous notes and memoranda, e.g., transfers, cancellations, corrective action letters, letters of caution or warning, inspection/grading performance/productivity data, letters of suspension, indictment, complaint, proposals to revoke license, etc. Content and extent of these records vary by commodity, program and season.

Authority for maintenance of the system: 7 U.S.C. 1621-1627.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to States or other Federal agencies to determine verification of employment or length of service for retirement purposes; referral to Civil Service Commission for required records and reports; to Government Accounting Office for required records and reports; to Department of Justice for required records and reports. Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folder, notebooks, and cardex files.

Retrievability: Records are indexed by name of licensee and/or license and/or license number.

Safeguards: Government office buildings, locked and unlocked file cabinets and locked offices.

Retention and disposal: Records maintained indefinitely or until separation or retirement or in accordance with prescribed retention schedules.

System manager(s) and address: Privacy Act Coordinator, USDA/FSQS, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Notification procedure: Any individual may request information concerning himself from this system from: Privacy Act Coordinator, USDA/FSQM, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the system that pertains to him by submitting a request to: Privacy Act Coordinator, USDA/FSQS, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Record source categories: Information in this System comes primarily from licensees, supervisors, with additional data provided by references and investigative personnel.

USDA/FSQS—3

System name: Court cases brought by the Government pursuant to the following Acts: Agricultural Marketing Act of 1946, Egg Products Inspection Act.

System location: Food Safety and Quality Service, USDA, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who are regulated by the subject Acts and who may be investigated for possible violations of the Acts and/or against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intra- and interdepartmental recommendations pertaining to an alleged violation of the subject Acts.

Authority for maintenance of the system: 7 U.S.C. 1621 et seq., and 1031 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation law, or of enforcing or implementing a statute, law, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations. (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate, or administrative tribunal. (4) Disclosure may be made to a Congressional office from the record of an

individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in the file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Government office buildings, locked offices or locked file cabinets.

Retention and disposal: Records are maintained in conformance with appropriate General Services Administration destruction schedules.

System manager(s) and address: Privacy Act Coordinator, USDA/FSQS, 14th and Independence Avenue, SW., Washington, D.C. 20250.

Notification procedure: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(g), (h), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action to escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/FAS—1

System name: Applicant Files for Employment with International Organizations, USDA/FAS.

System location: International Organization Affairs, Foreign Agriculture Service, United States Department of Agriculture, 14th and Independence Avenue, Washington, D.C. 20250.

Categories of individuals covered by the system: U.S. Citizens who have applied for specific post or indicated an interest in employment with international organizations. Occasionally includes person who has been only suggested as a possible candidate by someone else.

Categories of records in the system: Resumes and/or employment application forms solicited and unsolicited letters of recommendation, reference checks, interview notes, and correspondence with candidates; communications to and from U.S. Missions and International organizations concerning applicant's candidacy; letters of referral to and from Federal Agencies and other recruitment sources and users.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.68.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Resume or application referred to international organizations and other Federal Agencies involved in the recruitment of candidates for international organizations. Referral in rare instances made when private foundations or other Federal Agencies request assistance in locating specialized candidates. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the address listed above.

Retrievability: Records are indexed by name of individual.

Safeguards: Records are kept in file cabinet in official Government office building with security guards.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Personnel Staffing Specialist, International Organization Affairs, Foreign Agricultural Service, United States Department of Agriculture, 14th and Independence Avenue, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him by contacting the System Manager.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the System Manager.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Information in this system comes primarily from candidates themselves, educational institutions, previous employers, Federal Agencies, non-Governmental organizations private foundations, and profesional associations.

USDA/FAS—2

System name: Cooperator Employee Data, USDA/FAS.

System location: Program Services Branch, Planning and Evaluation Division, Foreign Agricultural Service, U.S. Department of Agriculture, 14th and Independence Avenue, Washington, D.C. 20250.

Categories of individuals covered by the system: U.S. citizens stationed overseas who supervise the operation of U.S. Cooperator foreign offices.

Categories of records in the system: The system consists of files on individual employment contracts, overseas assignment letters which include authorized salary allowances, various correspondence on individual personnel actions, position descriptions, employment applications, etc.

Authority for maintenance of the system: 7 U.S.C. 1704 (b) (1), 7 U.S.C. 1761, and 7 CFR 2.68.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: It is essential that FAS maintain this data since Government funds are used to pay a portion of the salaries. The data is provided to the U.S. Cooperator who is employing the individual. Personal data is also required on U.S. citizens in order to determine allowances, such as housing allowances and post allowances which are paid with funds made available by the U.S. Government. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the address listed above.

Retrievability: Records are indexed by name of individual and Cooperator.

Safeguards: Records are kept in a locked file cabinet in official Government office building with security guards.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Chief, Program Services Branch, Planning and Evaluation Division, Foreign Agricultural Service, U.S. Department of Agriculture, 14th and Independence Avenue, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him by contacting the System Manager.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the System Manager.

Contesting record procedures: Individuals desiring to contest or amend information maintained in the system should direct their request to the System Manager listed above, the reasons for contesting it, and the proposed amendment to the information sought.

Record source categories: Information in this system comes primarily from Cooperator officials, agricultural attaches, agency employees and trade officials.

USDA/FAS—3

System name: Visa and Passport Clearance Information Data, USDA/FAS.

System location: Foreign Travel Section, Management Services Division, Foreign Agricultural Service, USDA, 14th and Independence Avenue, S.W., Washington, D.C. 20250.

Categories of individuals covered by the system: The System consists of a card index containing information required by foreign countries to grant visas.

Authority for maintenance of the system: 22 U.S.C. 213; AR 557j.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Maintenance of this data expedites issuance of passports and visas. The information is transferred from the card to visa forms required by various foreign countries to issue entrance visas. The visa forms are sent to the respective foreign country's embassy located in Washington, D.C.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file boxes in file cabinet at above address.

Retrievability: Records are filed by name of individual applying for Official and Diplomatic passports.

Safeguards: Records are kept in file cabinet in locked office in Government building with security guards.

Retention and disposal: Records are maintained indefinitely as long as valid passport is maintained.

System manager(s) and address: Head, Foreign Travel Section, MSD, Foreign Agricultural Service, USDA, 14th and Independence Avenue, S.W., Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him by contacting the System Manager.

Contesting record procedures: Amended, corrected or new cards can be submitted at any time to System Manager listed above. Old card will be destroyed and new one inserted in its place.

Record source categories: Information in this system is provided by the individual applying for Official and Diplomatic passports.

USDA/FS—1

System name: Appeals and Administrative Reviews, USDA/FS

System location: Forest Service Headquarters in Washington, D.C., the 9 Regional Offices, 121 Forest Supervisor Offices, 673 District Ranger Offices, 10 Experiment Station Offices and Two State and Private Area Offices. The address for the Headquarters is Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue SW., Washington, D.C., 20250. The addresses of all other Forest Service offices may be found in 36 CFR 200.2, Subpart A, or in the telephone directory of the applicable locality under the heading, United States Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: Any person who has appealed or formally requested review or reconsideration of a decision or action by a Forest Service officer in any contract involving the Forest Service. Does not include personnel matters which are excluded. The appeal, administrative review, or reconsideration request may have been submitted directly to an officer of the Forest Service or through the Board of Forest Appeals.

Categories of records in the system: The record includes information regarding the circumstances of the matter under appeal. This may involve information of the appellant, his use of National Forest lands, effects of the decision being appealed on his activities, and other information supplied by appellant on is behalf. Information is also provided by the Forest Service Officer whose decision is under appeal, review, or reconsideration.

Authority for maintenance of the system: 5 U.S.C. 22 and 301; 7 U.S.C. 1011(f); 15 U.S.C. 714(b)(g) and (h): 16 U.S.C. 551; 40 U.S.C. 486(c); 7 CFR 24; 36 CFR 211.20 thru 211.37

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Vertical file folders

Retrievability: Records are maintained under file designation 1570, identified by the appellant's name, date of appeal, review, or reconsideration request, and/or Forest Service Docket Number (if case docketed by the Board of Forest Appeals).

Safeguards: Normal security for routine file material. Locked office of file room.

Retention and disposal: Upon final decision case is closed. Transferred to closed files at end of fiscal year. Cases reaching National level are retained 25 years, Regional level is 3 years, and other levels maintained 3 years. Transfer to Federal Records Center after 3 years.

System manager(s) and address: Chief, Forest Service, U.S. Department of Agriculture, Washington, D.C. 20250 or the appropriate Regional Forester, Forest Supervisor, or District Ranger at the address listed above.

Notification procedure: Address inquiries to the office at which the individual filed his original notice of appeal or request for review or reconsideration. Identifying information should include name, date of appeal or request, Forest Service Docket (if applicable), and date of decision and by whom issued (if applicable).

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information obtained from appellant. On his behalf, witnesses or experts solicited by appellant, Forest Service Officers, and witnesses and technicel experts solicited by Forest Service.

USDA/FS—2

System name: Blaster's Certification Program, USDA/FS

System location: Forest Service Regional Headquarters and/or Forest Supervisor Headquaters where individual is or was employed. The addresses for these office are listed in 36 CFR 200., Subpart A.

Categories of individuals covered by the system: Forest Service employees who have applied for a Forest Service Blaster's certificate are included in this system of records.

Categories of records in the system: This system consists of complete files on individual applications for the Forest Service Blaster's certificate including examination results, application form (FS 6100-24), and certificate issued or revoked.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60 and 29 CFR 1926.901

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Standard Forest Service Form 6100-24 and supporting documents.

Retrievability: System is indexed by name and organizational location.

Safeguards: Records are maintained in standard filing sytem and are available only to autorized Forest Service personnel. Offices are locked during non-working hours.

Retention and disposal: Records are maintained for the duration of individual's employment and thereafter filed in the Federal Records Center and disposed of in accordance with the Agency's approved retension schedule.

System manager(s) and address: Regional Forester and/or Forest Supervisor in charge of the unit where the individual is or was employed.

Notification procedure: Any employee (past or present) may request information as to whether or not the system contains records pertaining to him from the appropriate Regional Forester or Forest Supervisor. A request for information should be in writing and should include the individual's full name and address; approximate date of application and place of employment at that time.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes primarily from written, oral, and applied examinations.

USDA/FS-4

System name: Certification of Engineering Personnel, USDA/FS.

System location: At the Forest Service Headquarters Offices of the Chief, Regional Foresters, and Forest Supervisors as listed in 36 CFR 200.2, Subpart A, where individual is or was employed, and at Bibliographic Retrieval Service, Inc., 702 Corporation Park, Scotia, N.Y. 12302.

Categories of individuals covered by the system: Forest Service employees who have taken examinations in one or more of the certification categories.

Categories of records in the system: Consists of the name, social security number, work location, written and oral examination results, and certificates issued for each Forest Service employee defined in the preceding paragraph.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Examination results, and supporting documents. Data is also on magnetic tape.

Retrievability: Manual system is indexed by name and location. ADP System is indexed by individual Social Security numbers.

Safeguards: Records are maintained in standard filing system and on magnetic tape. The records are located in offices that are locked during non-office hours. They are available only to authorized personnel.

Retention and disposal: Records are maintained for the duration of individual's employment and thereafter filed in the Federal Records Center in accordance with standard procedures. Entries on magnetic tape are eliminated when employee leaves the organization.

System manager(s) and address: Director of Engineering, Forest Service, U.S. Department of Agriculture, Washington, D.C. 20250 or the appropriate Regional Forester, Forest Supervisor in charge of the unit where the individual is or was employed.

Notification procedure: Employees (past or present) may request information as to whether or not the system contains records pertaining to them from the appropriate system manager listed in the preceeding paragraph. A request for information should be in writing and should include the individual's full name, address, and social security number; approximate date of last certification or examination, and place of employment at that time.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes primarily from written, oral, and applied examinations.

USDA/FS—5

System name: Certified cost Collectors, USDA/FS

System location: Office of the Regional Forester, Forest Service, 630 Sansome St., San Francisco, CA, 94111.

Categories of individuals covered by the system: Forest Service employees who have completed the necessary training to qualify as Cost Collectors.

Categories of records in the system: Name and date of individual's certification.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Timber Management, Forest Service, 630 Sansome St., San Francisco, CA, 94111.

Notification procedure: Any employee may request information regarding the system of records or information as to whether the system contains records pertaining to him from the System Manager. A request for information should contain name and date of certification.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Forest Service records of accounting experience and training obtained from information in the employee's personnel file.

USDA/FS—6

System name: Certified Scalers, USDA/FS

System location: Headquarters of 9 Regional Offices and 121 Forest Supervisor Offices. The addresses are listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Forest Service employees who have completed the necessary training to qualify.

Categories of records in the system: Name, grade, date of certification, and organization. Includes record of certification action.

Authority for maintenance of the system: 16 U.S.C. 476

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Timber Management in each of the 9 Regional Offices and 121 Forest Supervisor Offices.

Notification procedure: Any employee may request information regarding the system of records or information as to whether the system contains records pertaining to him from the System Manager. A request for information should contain the name, grade, date of certification, and organization.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Forest Service records of scaling experience and training obtained from information in the employee's personnel file and check scale records filed in the office.

USDA/FS—7

System name: Certified Silviculturists, USDA/FS

System location: At headquaters of nine Regional Offices as listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Forest Service employees who have completed the necessary training to qualify.

Categories of records in the system: Name, grade, date of certification, and organization. Includes record of certification action.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Timber Management in each of the nine Regional Offices referred to above.

Notification procedure: Any employee may request information regarding the system of records or information as to whether the system contains records pertaining to him from the System Manager. A request for information should contain the name, grade, and date of certification, and organization.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Forest Service records of silviculture experience and training obtained from information in employee's personnel file.

USDA/FS—8

System name: Check-Before-Using Pilot List, USDA/FS.

System location: Records in this system are presently maintained at the Forest Service headquarters of the 9 Regional Offices as listed in 36 C.F.R. 200.2, Subpart A. The record is coordinated by the Director of Aviation Management, Forest Service, U.S. Department of Agriculture, 12th and Independence Ave., S.W., Washington, D.C., 20250, and disseminated to all Regional Air Officers at above mentioned locations.

Categories of individuals covered by the system: Pilots who have performed unsatisfactorily, while working under a contract for services.

Categories of records in the system: The record contains the pilot's name, FAA pilot's license number and the Region or area which reported the unsatisfactory performance.

Authority for maintenance of the system: 5 U.S.C. 301; 7 C.F.R. 2.60.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained in file folders.

Retrievability: Records are indexed by the name of the individual.

Safeguards: Records are kept in the general files in a locked office.

Retention and disposal: Records are updated currently as needed and then filed in the National Archives in accordance with standard procedures. Names may be added or deleted from the list, as appropriate.

System manager(s) and address: The Director of Aviation Management, Forest Service, U.S. Department of Agriculture, 12th and Independence Ave., S.W., Washington, D.C. 20250, and the Regional Air Officers at Regional Offices as listed in 36 C.F.R. 200.2, Subpart A.

Notification procedure: Any individual may request information as to whether he is on the list by writing the appropriate System Manager. He will be furnished information as to who he may contact at the Regional Offices to obtain additional information as to why his name appears on the list. A request for information pertaining to an individual should contain name, FAA pilot license number, and information as to previous employers while performing services for the agency.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes from Regional Aviation Officers, Contracting Officers, and pilot inspectors.

USDA/FS—9

System name: Employee Assistance Program CONCERN, USDA/FS.

System location: The records in this system are maintained in the Forest Service Headquarters in Washington, D.C. and in nine Regional Offices, ten Experiment Station Offices, and the Forest Products Laboratory. The addresses of these offices are listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Any employee with problems affecting their job performance.

Categories of records in the system: Documentation of referral; notes supervisory or employee discussions; therapy progress records.

Authority for maintenance of the system: 5 U.S.C. 7901 and 42 U.S.C. 4551.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in the system is referred to the professional counselor working with the employee. Information is used only as a background for counseling or advising the employee and/or work supervisor. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Records are indexed by name of employee and/or program number.

Safeguards: Folders are maintained in locked file cabinet or drawers. Only Program Advisor has access to information.

Retention and disposal: Record is maintained through any treatment and/or rehabilitation therapy, and destroyed upon completion of treatment by tearing up or shredding devices, if available.

System manager(s) and address: CONCERN Program Administrator, Forest Service, U.S. Department of Agriculture, 12th and Independence, S.W., Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the CONCERN Program Coordinator for the appropriate Region or Station, the Forest Products Laboratory, or the Washington Office. If the specific location of the record is not known, the individual should address his request to the System Manager, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain the employee's name, address and the unit of which he/she works.

Record access procedures: To gain information on procedures of gaining access, employee may call CONCERN telephone numbers shown in published brochure or posters.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in the system comes from confidential discussions with employee and/or supervisor, discussions with the professional counselor on his report on employee progress.

USDA/FS—10

System name: Employee Development Record, USDA/FS.

System location: Records are maintained at all official duty stations of Forest Service (FS) employees. Addresses of the individual offices are listed in the telephone directories for the city or town in which they are located under the heading United States Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: All Forest Service employees with a permanent appointment.

Categories of records in the system: A Biographical Section referring to the education, experience, physical capacity and career desires of the employee. Summary sheets or forms such as SF-171, Employee Performance Appraisals, etc., and an ADP printout, if available. A Special Qualification Section containing information on specialized qualifications of the employee. Examples of such material are driver-qualification records, blasting or other skill certificates, letters of commendation, employee suggestions, special requests from the employee, and records of special assignments on committees, boards, etc. A Development Section containing the current individual Employee Development Plan and other records of training such as copies of AD-281's reports of training meetings attended, copies of previous individual development plans and records of details and other training assignments, and copies of accident and injury reports.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Responding to reference checks by potential employers of supervisors, and referral to selection groups considering candidates for special training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folders are kept by the immediate supervisor usually in his desk or immediate office.

Retrievability: By name.

Safeguards: Records are kept in a locked room or a locked file cabinet.

Retention and disposal: Maintained as long as an employee is under permanent appointment. Folder is sent through channels to the appointing office when an employee is transferring to another location in the Forest Service. When an employee is separated, the material in the Employee Development Record is mutilated and destroyed.

System manager(s) and address: Director, Personnel Management Staff; Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue, S.W., Washington, D.C. 20250.

Notification procedure: Any individual may request information concerning himself from his present or former immediate supervisor at the official duty station shown on his latest employment action.

Record access procedures: Immediate supervisor, or unit head or Personnel Officer of a District, Forest, Region, Research Project, Research Station, Area, or Washington Office.

Contesting record procedures: Same as for requesting Access.

Record source categories: Information in this folder comes from the employee and his supervisor.

USDA/FS—11

System name: Employee Emergency Information, USDA/FS.

System location: Records are maintained at all official duty stations of Forest Service (FS) employees. Addresses of the individual offices are listed in the telephone directories for the city or town in

which they are located under the heading United States Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: All Forest Service employees.

Categories of records in the system: This is an optional system which some offices may choose not to use. The record contains the employee's home address and phone, and the name, address and phone of the person designated by the employee to be contacted in case of emergency. Some offices also include the name and phone of the employee's physician and special health information such as blood type, allergy or disease which may affect the kind of emergency treatment given.

Authority for maintenance of the system: 5 U.S.C. 301, 7 CFR 2.60.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in work supervisor's office.

Retrievability: Records are indexed alphabetically by name of employee.

Safeguards: Records are kept in a locked office.

Retention and disposal: Card record is updated at least semi-annually or more often when there is a change in information. Record is destroyed when employee transfers, retires, or is separated.

System manager(s) and address: Head of the Operating Office at the employee's duty station.

Notification procedure: Individual employee initally prepares and makes revision to the record. Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to her/him from the System Manager at the address listed above.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes exclusively from the employee.

USDA/FS—12

System name: Fire Qualification and Experience Records, USDA/FS

System location: Records are presently kept by the respective Regional Office and Forest Supervisor's Office where the individual is presently employed. The records are currently being entered into an automatic data processing system at the Fort Collins Computer Center, Fort Collins, CO, 80521.

Categories of individuals covered by the system: Forest Service employees with sufficient fire experience to qualify for supervisory positions or non-supervisory crews.

Categories of records in the system: The system contains a record of the actual fire experience, fire related training received, age, physical condition, training needed and an evaluation of fire overhead positions in which he has been deemed qualified to perform. An evaluation of his performance may also be included.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60; 16 U.S.C. 551.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disseminated to Federal, State and local agencies involved in wildland fire protection activities, including but not limited to the Forest Service, Bureau of Land Management, Bureau of Indian Affairs, National Park Service, State Forestry Organizations, and Rural Fire Departments, so that the individuals and their assigned fire crews can be called upon for emergency duty.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are currently stored on file cards at each respective Regional Office and Forest Supervisor's Office. An ADP system is being devised and all records will be placed on magnetic tape at Fort Collins Computer Center.

Retrievability: The system is currently indexed by the individual's last name, but it will also be cross-referenced by social security number when it is placed in the ADP system.

Safeguards: The records do not contain any information considered to be of a confidential or personal nature, therefore, they are kept in a general file and in an ADP storage system without access restrictions.

Retention and disposal: The records are kept for the entire employment period of the individual, which could be up to 35 years, or until he is unable to perform fire related work due to health or lack of current experience or training.

System manager(s) and address: The Regional Forester, Forest Supervisor, or his designated representative, at appropriate office where the individual is employed.

Notification procedure: An employee can obtain the information from the Supervisor's Office or Regional Office under which he is or had been employed. If the specific location of the record is not known, the individual should direct his request to the Director of Fire Management, in the Regional Office of the respective geographic area where he was employed. A request for information pertaining to an individual should contain name, social security number, place and period of employment, and position held.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: The information in this system comes primarily from the individual, from other in-service documents, or from supervisory personnel.

USDA/FS—13

System name: Geometronics Skills Inventory, USDA/FS.

System location: This system of records is maintained by the Director of Engineering, Forest Service, U.S. Department of Agriculture, Washington, D.C. 20250, the Fort Collins Computer Center, 3525 East Mulberry St., Fort Collins, CO 80521, the Geometronics Service Center and Regional offices. The addresses for the Regional Headquarters offices are listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Forest Service employees who are professional or para-professional and are assigned to Geometronics activities.

Categories of records in the system: This system contains the series, grade, and skills of each Forest Service employee who is identified by the preceding paragraph.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Skill data is stored on the FCC computer on magnetic tape and Section X of the Geometronics annual reports.

Retrievability: The system is indexed by organizational unit, name, grade, series, or key word for a particular skill.

Safeguards: Records are maintained in standard filing systems and on mag-tape. They are available only to authorized personnel. The buildings are locked when unoccupied.

Retention and disposal: Records are maintained for the duration of the individual's employment and purged from the system.

System manager(s) and address: Director of Engineering, Forest Service, U.S. Department of Agriculture, Washington, D.C. 20250, the Director of Geometronics Service Center, and the appropriate Regional Forester, at the addresses specified above.

Notification procedure: Any Forest Service employee (past or present) may request information as to whether or not the system contains records pertaining to him from the appropriate system manager listed in the preceeding paragraph. Request for information should be in writing. The request should include the individual's name, address, and his organizational unit.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes primarily from Section X of the Geometronics Annual Report and Supervisory evaluation of the individual as recorded in the employee's personnel folder.

USDA/FS—14

System name: Grazing Permittees, Individual, National Forest System, USDA/FS.

System location: The records in this system are maintained in the Regional Forester's office as pertains to special limits of some grazing permittees, in the headquarters offices of the Forest Supervisors for all permittee records, and offices of District Rangers for duplicate records of those kept by Forest Supervisors. Records are also stored on magnetic tape at the Fort Collins Computer Center. The addresses for Regional Foresters and Forest Supervisors are listed in 36 CFR 200.2, Subpart A, and addresses for District Rangers are in the telephone directory of the applicable locality under the heading, U.S. Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: Parties who hold permits to graze livestock on Forest Service administered lands are included in this system of records.

Categories of records in the system: The system contains information on names and post office addresses of permittees; number, kind, and brands of livestock owned; acres, by kind, of land owned which is declared as base property; number and kinds of livestock permitted; race and sex of permittee; type of permits, periods of use, grazing allotments (areas) involved, and whether or not an escrow waiver of term permit privileges exists. Also included are acres of land owned or leased in addition to base property, tons of dry feed produced or purchased, Bureau of Land Management permits held by Forest Service permittees (number and kind of livestock, periods of use), names of other parties who own an interest in permitted livestock, identification of other grazing permits on National Forest System lands in which the permittee holds an interest. For private land permits, system identifies owned or leased property offered as a basis for grazing permits, specifying legal subdivision, section, township, range, and number of acres.

Authority for maintenance of the system: 5 U.S.C. 301; 36 CFR 222.3.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders and on magnetic tape.

Retrievability: Records in file folders are indexed by name of permittee; records on magnetic tape are retrievable by name, by identification number assigned by Forest Supervisor, characteristics of permittee, or type of grazing use.

Safeguards: Records are kept in locked government offices. Magnetic tape files are available only to persons having authorized access codes.

Retention and disposal: Records are maintained in current file while permit is active, transferred to closed files for 3-year period following cancellation, and then sent to Federal Records Center for permanent retention.

System manager(s) and address: Director of Range Management, USDA-Forest Service, P.O. Box 2417, Washington, D.C. 20013; and/or the appropriate Regional Forester or Forest Supervisor.

Notification procedure: Any party may request information as to what the system contains pertaining to himself/herself from the appropriate System Manager. If specific locations are known, requests should be made to the Forest Supervisor involved.

Record access procedures: Use the same procedure as for requesting Notification.

Contesting record procedures: Use the same procedure as for requesting Notification.

Record source categories: Information in the system comes from individual grazing permittees, or grazing associations, and from Forest Service records concerning grazing allotments and permitted livestock. Race and sex of permittee is included by District Ranger based on observation.

USDA/FS—15

System name: Manpower Programs, USDA/FS

System location: The records for this system are located in Forest Service offices out of which enrollees worked. The addresses of these offices are the same as listed for the Appeals and Administrative Review system described above.

Categories of individuals covered by the system: Persons performing work for the Forest Service but not employed by the agency. Includes volunteers on the National Forests, persons sponsored by other organizations under the Comprehensive Employment and Training Act, and persons under employment and/or training programs, such as College Work Study, who are assigned to the Forest Service.

Categories of records in the system: File may contain any of a variety of documents relating to the enrollee, such as correspondence about the indvidual, application form, timekeeping records, emergency notification data, driver qualification record, receipt for property issued, compensation for injury forms, performance evaluation, and other materials.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 260

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Forest Service officials for all necessary purposes pertaining to the individual's work for the Forest Service. This may include reporting time worked and other information to the sponsoring organization, providing employment confirmation and recommendations to other organizations, and data to the Office of Worker's Compensation Programs in the event of a compensation for injury claim. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Documents are maintained in regular file folders.

Retrievability: Stored alphabetically by name of person.

Safeguards: Kept in locked cabinets or locked offices.

Retention and disposal: Files are destroyed 2 years after the person has ceased to perform work for the Forest Service unless they become part of another system (such as Official Personnel Folder or Compensation for Injury Claim) which is governed by other authorities.

System manager(s) and address: Director, Division of Manpower and Youth Conservation Programs, U.S. Department of Agriculture, Forest Service, Washington, DC, 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him, from the organizational unit for which he performed work. A request for information pertaining to an individual should contain the name, address, dates when work was performed, program under which enrolled, and location where work was performed.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes primarily from the individual himself, the sponsoring organization, work supervisors, and other Forest Service officials.

USDA/FS—16

System name: Mineral Lessees and Permittees, USDA/FS

System location: At the Forest Service headquarters offices of the Chief, Regional Foresters, and Forest Supervisors as listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Parties who have applied for or hold mineral leases or permits issued by the Bureau of Land Management or the Forest Service covering National Forest System lands.

Categories of records in the system: The system consists of inter- and intra-agency, Secretarial, Presidential and Congressional correspondence, leases, permits, sale contracts, environmental reports, mineral evaluations, operating plans, reclamation plans, and pleadings.

Authority for maintenance of the system: 16 U.S.C. 520, and 30 U.S.C. 181, 351 and 601.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law or enforcing or implementing the statue, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, or by rule, regulation or order issued thereto. Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding or which is sought in the course of discovery. "Disclosure may be made to a

congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by the name of the individual lessee, permittee, or purchaser.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Director, Watershed and Minerals Area Management, Forest Service, U.S. Department of Agriculture, Washington, DC 20250.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the System Manager. A request for information pertaining to an individual should contain name, address, State in which the lease, permit, or sale exists, and identification number, if any.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes from the records developed during the processing of applications, evaluations made course of lease or permit, and from data furnished by the individual.

USDA/FS—17

System name: Mineral Operators, USDA/FS

System location: At the Forest Service headquarters offices of the Chief, Regional Foresters, and Forest Supervisors as listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Parties who have filed operating plans or notices of intention to operate under authority of the 1872 mining law or who intends to exercise mineral rights pursuant to mineral reservations on National Forest System lands.

Categories of records in the system: The system consists of inter- and the intra-agency, Secretarial, Presidential and Congressional correspondence, notices of intention to operate, operating plans, reclamation plans, mineral evaluations, environmental reports and pleadings.

Authority for maintenance of the system: 16 U.S.C. 478, 486, 518, 551; 36 CFR 252.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law or enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general rule, regulation or order issued pursuant thereto. Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which sought in the course of discovery. "Disclosure may be made to a congressional office from the record of any individual in response to an inquiry from the congressional office made at the request of that individual."

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by the name of the individual operator.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Director, Watershed and Minerals Area Management, Forest Service, U.S. Department of Agriculture, Washington, DC 20250.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the System Manager listed above. A request for information pertaining to an individual should contain name, address, and State in which mineral operations are located.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system is provided by the individual, agency staff personnel, and other organizations.

USDA/FS—18

System name: Mining Claimants, USDA/FS

System location: At the Forest Service headquarters offices of the Chief, Regional Foresters, and Forest Supervisors as listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Parties who have filed or hold mining claims on public domain National Forest System lands.

Categories of records in the system: The system consists of inter- and intra-agency, Secretarial, Presidential, and Congressional correspondence, reports of mineral examination, and pleadings.

Authority for maintenance of the system: 30 U.S.C. 22.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the appropriate agency, whether Federal State local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, or by rule, regulation or order issued pursuant thereto. Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by the name of the individual claimant.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Director, Watershed and Minerals Area Management, Forest Service, U.S. Department of Agriculture, Washington, DC 20250.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the System Manager. A request for information pertaining to an individual should contain name, address, and State in which mining claims are located.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system is provided by the individual, agency staff personnel, and other organization.

USDA/FS—19

System name: Person Interested in Forestry and Related Programs, USDA/FS

System location: All Forest Service field locations. Addresses of Forest Service offices are listed in the telephone directories of the respective cities under the heading United States Government, Department of Agriculture Forest Service.

Categories of individuals covered by the system: Persons in communications, industry, conservation, elected office, and communities who are known (or expressed) to have an interest in obtaining up to date information about Forest Service activities in forestry or natural resource related matters.

Categories of records in the system: Record includes name, address, and kind of Forest Service activities and programs, i.e., wood, forage, water, recreation, wildlife, land use planning, wilderness, etc., in which the individual has demonstrated a special interest.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Keep interested persons informed concerning current forestry or natural resource elated activities. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cards, folders, computer.

Retrievability: Indexed by name of individual for whom address is written.

Safeguards: File cabinets.

Retention and disposal: Retained as long as there is a current address or evidence of continuing interest in forestry and natural resource related matters.

System manager(s) and address: Chief, Forest Service, U.S. Department of Agriculture, 12th and Independence, S.W., Washington, DC 20250 or responsible line officer at each field unit.

Notification procedure: An individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from any Forest Service office, with the one in proximity to requester's home address most likely.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Respondents on public involvement issues, meetings, hearings, conversations, correspondence, telephone, and published directories.

UDSA/FS—20

System name: Public Correspondence Concerning Timber Management, USDA/FS

System location: Records in this system are maintained by the Director of Timber Management, Forest Service, U.S. Department of Agriculture, 12th and Independence Ave., SW., Washington, D.C., 20250.

Categories of individuals covered by the system: Individuals who correspond with the Washington Office of the Forest Service regarding timber management affairs.

Categories of records in the system: Contains the writer's name, who the original letter was addressed to, subject matter, record of final disposal of letter, including author of response and date of response.

Authority for maintenance of the system: 7 U.S.C. 1010-1031a, 16 U.S.C. 460, 471-594, 616, 694, and 1131-1136; and 33 U.S.C. 701.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in a data terminal in a locked room.

Retrievability: Records are indexed by name of individual correspondent.

Safeguards: Records are kept in a data terminal in a locked room.

Retention and disposal: Records are retained in the data base for 1 year. An annual printout is then prepared and stored in a file.

System manager(s) and address: Director of Timber Management, Forest Service, U.S. Department of Agriculture, Washington, D.C. 20250.

Notification procedure: Any individual may request information from this system, or information as to whether the system contains records pertaining to himself from the System Manager.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information is obtained from letters addressed directly to the Forest Service, Division of Timber Management or referred to it by others for reply.

USDA/FS—21

System name: Public Involvement Respondents on Forest Service Activities, USDA/FS

System location: Records in this system are maintained at Forest Service Headquarters in Washington, D.C., the 9 Regional Offices, 123 Forest Supervisor Office, and 673 District Ranger Offices. The address for the Headquarters is Forest Service, U.S. Department of Agriculture, P.O. Box 2417, Washington, D.C. 20013; the address for Regional Foresters and Forest Supervisors are listed in 36 CFR 200:2, Subpart A; and addresses for District Rangers are in the telephone directory of the applicable locality under the heading, United States Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: Volunteer respondents in public involvement efforts related to natural resource management issues.

Categories of records in the system: May include one or more elements of Correspondence, news clippings, questionnaires, response forms, summary lists, oral comments.

Authority for maintenance of the system: Executive Order No. 11514, March 5, 1970, and 42 U.S.C. 4321.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

By issue on published documents; keysort cards; magnetic tape; punched cards; original correspondence; microfilm.

Retrievability: By issues.

Safeguards: File cabinets.

Retention and disposal: Records are retained for 2 years after the decision is made and then destroyed.

System manager(s) and address: Director, Public Information and Involvement, Forest Service, U.S. Department of Agriculture, P.O. Box 2417, Washington, D.C. 20013, or the appropriate Regional Forester, Forest Supervisor, or District Ranger at the addresses specified under Location above.

Notification procedure: Any Forest Service field office or the WO, where the respondent gave or mailed comment or any Forest Service office to which such comments might have been sent for review or analysis. Identifying information should be by public involvement issue and approximate year.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Respondents voluntarily give the information to agency in meetings, hearings, and by correspondence.

USDA/FS—22

System name: Sawtooth National Recreation Area Certifications, USDA/FS

System location: Headquarters, Sawtooth National Recreation Area, Ketchum, ID, 83340

Categories of individuals covered by the system: Any person who has requested a certification from the Area Ranger concerning use of private lands within the Sawtooth National Recreation Area.

Categories of records in the system: Includes an application for Certification form and supplemental information provided by the appellant. Information obtained by the Area Ranger and staff may also be included. The data will describe the applicant's privately owned land, his plans for the land, and other information relating to the effect of the applicant's request on NRA resource values and objectives.

Authority for maintenance of the system: 5 U.S.C. 301; 36 CFR 292.14-292.16

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Vertical file folders.

Retrievability: Files are maintained under 5400 designation, identified by the applicant's name, date of application, and sequential application number.

Safeguards: Normal security for routine file material. Locked office or file room.

Retention and disposal: Permanent.

System manager(s) and address: Area Ranger, Sawtooth National Recreation Area, Ketchum, ID, 83340.

Notification procedure: Any individual may request information regarding this system of records or information as to whether this system contains records by writing to the Area Ranger, Sawtooth NRA. Identifying information should include the individual's name, date of certification application, and application number.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information obtained from applicant, experts or consultants acting on behalf of applicant, Area Ranger and Staff through field investigation, county records, and experts and consultants solicited by Forest Service.

USDA/FS—23

System name: Skill Needs Inventory Program (R-6), USDA/FS

System location: This system of records is maintained by the Forest Service Headquarters Office of Region 6 at 319 S.W. Pine St., Portland, OR, 97208, the Fort Collins Computer Center, 3825 East Mulberry St., Fort Collins, CO, 80521, and the Region 6 Forest Supervisor offices. The addresses for Forest Supervisors Offices are listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: System involves Region 6 Forest Service employees who have permanent full time or when-actually-employed appointments.

Categories of records in the system: The system consists of a skills inventory written and oral examination results, certificates issued, and training requirements for each Forest Service employee defined under category of individuals.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data is stored on magnetic tapes and on FS-6100-2 (Employee Career Development Plan) and AD-281 (Request, Authorization and Record of Training) forms.

Retrievability: Data on individual is indexed by Social Security Number. Existing skills and skill needs are indexed by a numeric series code which converges for an alpha readout. Data is retrieved by computer terminals.

Safeguards: When an employee leaves the Forest Service, data concerning him is erased from the tape, or transferred to another Government Agency upon written request by the individual stating his name, Social Security Number, address, and last Agency location. Access to data on the computer is limited to those authorized and having an assigned access code for data only within their unit. The buildings are locked when not occupied.

Retention and disposal: Records are maintained for the duration of the individual's employment and thereafter filed in the Federal Record Center in accordance with approved retention schedules. Entries on magnetic tape are eliminated when the employee leaves the organization.

System manager(s) and address: Region 6 Regional Forester, 319 S.W. Pine St., Portland, OR 97208 or the appropriate Region 6 Forest Supervisor.

Notification procedure: An employee (past or present) may request information as to whether or not the system contains records pertaining to him from the appropriate Regional Forester or Forest Supervisor. A request for information should be in writing and should include the name, address, Social Security Number, approximate date of last skill needs inventory record, and place of employment at that time.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information stored in the system comes from direct input by the employee and his work supervisor and is based on development plans, certification exams, observed training needs, and needs identified through the development of the program of work.

USDA/FS—24

System name: Special Use Permits, Easements, and Licenses, USDA/FS

System location: Records in this system are maintained at Forest Service Headquarters in Washington, D.C., the 9 Regional Offices, 123 Forest Supervisor Offices, and 673 District Ranger Offices. The address for the Headquarters is Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue, S.W., Washington, D.C., 20250; the addresses for Regional Foresters and Forest Supervisors are listed in 36 CFR 200.2, Subpart A; and addresses for District Rangers are in the telephone directory of the applicable locality under the heading, United States Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: any persons holding a special use permit, easement or license authorizing use or occupancy of National Forest land or land administered for National Forest purposes.

Categories of records in the system: The records includes information on the specific use or activity which the individual is authorized to conduct as reflected in inspections of the use or activity, qualifications and competence to perform the use or activity, and financial resources such as liability insurance and performance bonds. Other circumstances reflecting the conduct of the activity or use, negotiations on tenure and performance, etc., may be included.

Authority for maintenance of the system: 16 U.S.C. 472 and 551; 36 CFR 251.1 thru 251.65.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Primarily vertical file folders. Some case files or parts of files may be maintained on microfilm, aperture cards, etc.

Retrievability: Files are maintained under various sub-parts of 2700, identified by the kind of case (special use permit, easement, license, etc.), permittee's name, and date of permit (etc.) issuance. Applications and pending permits are maintained in the same manner except are designated Pending or Application.

Safeguards: Normal security for routine file material. Locked office or file room.

Retention and disposal: Upon termination of use or activity, case is closed. Transferral to closed files at end of fiscal year. Majority of cases are retained permanently although some issued under Ranger District or Forest Supervisor authority are specified for disposal from 5 to 50 years depending upon type of use (etc.).

System manager(s) and address: Director of Recreation, Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue, S.W., Washington, D.C., 20250, and the appropriate Regional Forester, Forest Supervisor, or District Ranger.

Notification procedure: Any individual may request information regarding the system of records, or information as to whether it contains records about him by writing to the office at which the individual's special use permit, easement, or license was issued. Identifying information should include the kind of case (special use permit, easement, or license), permittee's name, date of issuance, and location of permitted use or activity.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information obtained from individual, consultants contracted by the individual, Forest Service personnel in course of inspection and administration of activity or use, and Forest Service consultants and technical experts.

USDA/FS—25

System name: Temporary Employee Performance and Training Record, USDA/FS

System location: Records in this system are maintained at Forest Service Headquarters in Washington, D.C., the 9 Regional Offices, 8 Forest and Range Experiment Stations, the Forest Products Laboratory, the Institute of Tropical Forestry, 123 Forest Supervisor Offices, and 673 District Ranger Offices. The address for the Headquarters is Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue, S.W., Washington, D.C., 20250; the addresses for Regional Foresters, Forest and Range Experiment Stations,

Forest Products Laboratory, Institute of Tropical Forestry, and Forest Supervisors are listed in 36 CFR 200.2, Subpart A; and addresses for District Rangers are in the telephone directory of the applicable locality under the heading, United States Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: Forest Service Employees with temporary appointment.

Categories of records in the system: Performance evaluations; training planned and completed on a crew or group basis as well as individually; may also include an employment history and a copy of the latest hiring action. The system is similar to the Employee Development Record but less formal.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Respond to reference checks from potential employers or supervisors, and referral of performance records to schools or colleges when the individual was recruited through a special student employment program. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folders in files of the unit where individual worked.

Retrievability: By name.

Safeguards: Kept in locked files in locked offices.

Retention and disposal: Upon termination of employment, record is transferred to closed files where it is retained for 3 years and then destroyed.

System manager(s) and address: Director, Personnel Management Staff; USDA Forest Service; 1621 N. Kent St., Arlington, Virginia 22209. (Mailing address—USDA Forest Service, Washington, D.C. 20250.)

Notification procedure: Any individual may request information concerning himself from this system from the unit where he worked.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes from the temporary employee and his supervisors.

USDA/FS—26

System name: Trespass and Claims, USDA/FS

System location: At the Forest Service headquarters offices of the Chief and the Regional Foresters. The addresses of these offices are listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Individuals who file claims against Forest Service pursuant to the Federal Tort Claims Act, the Military Personnel and Civilian Claims Act and the various Forest Service Claims Act; also individuals against whom the Forest Service has filed claims pursuant to the Federal Claims Collection Act; and individuals who claim title to National Forest System lands pursuant to the Adjustment of Land Titles Act, Quit Claim Act, Color of Title Act, Wisconsin Land Title Act or the Real Property—Quiet Title Act.

Categories of records in the system: The system consists of complete files on individual claims, including claim forms, police reports, investigation and accident reports, statement of witnesses, agency reports, and financial data of individuals subject to a claim of the Forest Service.

Authority for maintenance of the system: 7 U.S.C. 2253; 16 U.S.C. 502, 556c and 574; 28 U.S.C. 2409a and 2671-2680; 31 U.S.C. 240-243 and 951-953; and 43 U.S.C. 872, 1068 and 1221.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to Office of the General Counsel for advice, settlement; referral to Department of Justice for defense of a land suit brought against the United States or its officers, or the filing of suit for the recovery of claims by USDA. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by name of individual claimant or trespasser.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are retained until the statutory limitations for the filing of such claim or suit arising therefrom has expired; then they are destroyed.

System manager(s) and address: Director, Fiscal and Accounting Management, Forest Service, U.S. Department of Agriculture, Washington, D.C. 20250, or the appropriate Regional Director of Fiscal and Accounting Management at the address specified above.

Notification procedure: Any individual may request information regarding this system of record or information as to whether the system contains record pertaining to him from the Director, Fiscal and Accounting Management, Forest Service, U.S. Department of Agriculture, Washington, D.C., telephone 202-447-6697, or the appropriate Regional Director of Fiscal and Accounting Management at the address listed above. If the specific location of the record is not known, the individual should address his request to the Director of Fiscal and Accouning Management, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain name, address, and particulars involved (i.e., the date of the action giving use to the claim or trespass, date claim or trespass was filed, correspondence, etc.)

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes primarily from claimant's witnesses, agency employees, and investigative personnel.

USDA/FS—27

System name: Youth Conservation Corps (YCC) Enrollee Medical Records, USDA/FS

System location: Forest Service Office responsible for administration of the YCC camp. Addresses of these offices are the same as listed under 36 CFR 200.2 Subpart A.

Categories of individuals covered by the system: Current and former YCC enrollees.

Categories of records in the system: Medical History Forms, Accident Injury and Medical Treatment Forms, and Parental Permission portion of the application forms.

Authority for maintenance of the system: 16 U.S.C. 1703

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Disclosure to a Federal, State or local agency maintaining Civil, Criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefits. (2) Disclosure to a Federal agency, in response to its request in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Indexed by name of enrollee.

Safeguards: Stored in metal filing cabinets in locked office.

Retention and disposal: Manual records are maintained for 3 years. Everything is then destroyed, except accident forms and medical treatment forms. These are retained permanently or until such time as enrollee may submit a claim.

System manager(s) and address: Director, Staff of Manpower and Youth Conservation Programs, U.S. Department of Agriculture, Forest Service, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Forest Service organizational unit where the YCC camp was located. The addresses for these offices are in 36 CFR 200.2, Subpart A. A request for information pertaining to an individual should contain name, address,

dates when work was performed, program under which enrolled, and location where work was performed.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes primarily from the individual himself, medical doctor, and camp official compiling accident or injury information.

USDA/FS—28

System name: Youth Conservation Corps (YCC) Enrollee Payroll Records, USDA/FS

System location: YCC Adminstrctive Services Center, Bureau of Reclamation, P.O. Box 11568, Salt Lake City, UT, 84147.

Categories of individuals covered by the system: Current and former YCC Enrollees.

Categories of records in the system: UC-507, Pay Notification Form information on magnetic tapes.

Authority for maintenance of the system: 16 U.S.C. 1703.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Payroll purposes for current enrollees. (2) Disclosure to a Federal, State or local agency maintaining Civil, Criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to any agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit. (3) Disclosure to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Current and past UC-507 Forms information on magnetic tape and printouts.

Retrievability: Tapes heels are coded by number.

Safeguards: Tapes are stored in a tape file and vault while printouts are stored in locked metal filing cabinets.

Retention and disposal: Current payroll information is purged from magnetic tapes at the termination of the program after being transferred to a single magnetic tape which is retained permanently. Printouts are destroyed after 5 years.

System manager(s) and address: Director, Staff of Manpower and Youth Conservation Programs, U.S. Department of Agriculture, Forest Service, Washington, D.C. 20250; Director, Office of Manpower Training and Youth Activities, Department of the Interior, Office of the Secretary, Washington, D.C. 20240.

Notification procedure: Any individual may obtain information about the system of records, or whether it contains records about him by writing to the appropriate System Manager listed above. Inquiries should state name, address, and camp in which enrolled.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: The records in this system originated from the individual on whom the record is maintained and from camp staff.

USDA/FS—29

System name: Youth Conservation Corps (YCC) Enrollee Records, USDA/FS

System location: Forest Service Office responsible for administration of the YCC Camp. Addresses of these offices are the same as listed under 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Current and former YCC Enrollees.

Categories of records in the system: Current enrollees: Application Forms, Medical History Forms; copies of UC-507 Forms; Evaluation of enrollee's performance by camp staff; Accident and Injury Forms. Past enrollees: list of names and addresses. Current alternates: Application Forms.

Authority for maintenance of the system: 16 U.S.C. 1702

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Enrollee participation record for school credit. (2) Disclosure to a Federal, State or local agency maintaining Civil, Criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit. (3) Disclosure to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Indexed by name of enrollee.

Safeguards: Stored in metal filing cabinets in locked office.

Retention and disposal: Records are maintained until the end of the current program. At termination, a list of the names and addresses of enrollees is retained, while the parental permission portion of the Application Form, Medical History Form and any Accident Forms are retained. All other information in the system of records is destroyed. The list of enrollee names and addresses is retained for 5 years and then destroyed. The application forms of current alternates are destroyed at the termination of the current program.

System manager(s) and address: Director, Staff of Manpower and Youth Conservation Programs, U.S. Department of Agriculture, Forest Service, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him, from the organizational unit for which he performed work. A request for information pertaining to an individual should contain: name, address, dates when work was performed, program under which enrolled, and location where work was performed.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes primarily from the individual himself, the sponsoring organization, work supervisors, and other Forest Service officials.

USDA/FS—30

System name: Youth Conservation Corps (YCC) Recruitment System, USDA/FS

System location: Office of the YCC recruiter in each State. Address of the State recruiters may be obtained each year by writing to the System Managers as listed below.

Categories of individuals covered by the system: Youth between the ages of 15 and 18 who file an application to attend a Forest Service, Department of the Interior, or State grant YCC camp with one of the named recruiters.

Categories of records in the system: The system consists of application forms submitted by eligible youth.

Authority for maintenance of the system: 16 U.S.C. 1703

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Selection is made from among applications of all eligible applicants. Persons selected are either offered employment in a YCC camp or placed on a substitute list to be used in case of declinations. Applications of those selected are sent to camps operated by the Forest Service, Department of the Interior, States, Counties, Cities, and other sub-grantees for use in the YCC Enrollee File subsystem.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Medium of storage is the applications themselves.

Retrievability: Applications are filed alphabetically by name of individual applicant.

Safeguards: Records are kept in office files available to responsible officials only.

Retention and disposal: Records on non-selected applicants are disposed of by September 31 of each year.

System manager(s) and address: Director, Division of Manpower and Youth Conservation Programs, U.S. Department of Agriculture, Forest Service, Washington, D.C. 20250; and Director, Office of Manpower Training and Youth Activities, Department of the Interior, Office of the Secretary, Washington, D.C. 20240.

Notification procedure: Any individual may request information regarding the system of records, or information as to whether it contains records about him by writing to the appropriate System Managers listed above.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: The YCC application form prepared by the applicant and any additions or corrections thereto, also prepared by the applicant, and additional information as may be added to the file by the State recruiter concerning the applicant's selection, nonselection, or declination.

USDA/FS—31

System name: Youth Conservation Corps (YCC) Research Files USDA/FS

System location: Institute for Social Research, University of Michigan, Ann Arbor, MI, 48106

Categories of individuals covered by the system: A random sample of 600 1973 YCC enrollees.

Categories of records in the system: The file contains questionnaire responses, environmental education scores, and verbal skills test data.

Authority for maintenance of the system: 16 U.S.C. 1705

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File is on a magnetic tape.

Retrievability: Data on each person is identified by a case number. It can be retrieved by matching the case number with a mailing list containing case numbers, name and address.

Safeguards: Kept in locked files and only the System Manager and other research staff have access to the mailing list.

Retention and disposal: Files are being retained indefinitely for possible future longitudinal studies of long range benefit.

System manager(s) and address: Donna A. Lingwood, Institute for Social Research, The University of Michigan, Ann Arbor, MI, 48106.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from: Director, Division of Manpower and Youth Conservation Programs, U.S. Department of Agriculture, Forest Service, Washington, D.C., 20250; Director, Office of Manpower Training and Youth Activities, Department of the Interior, Office of the Secretary, Washington, D.C., 20240. A request for information pertaining to an individual should contain name, address, dates when work was performed, program under which enrolled, and location where work was performed.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information in this system comes primarily from the individual himself, the sponsoring organization, work supervisors, and other Forest Service officials.

USDA/FS—32

System name: Professional Registration and Professional Society Affiliation, Engineering—Related Personnel—Eastern Region—USDA/FS

System location: Office of the Regional Forester, Headquarters, Eastern Region, USDA Forest Service, 633 West Wisconsin Avenue, Milwaukee, Wisconsin, and at National Forest Headquarters at the following location: Allegheny National Forest, Warren, PA; Chequamegon National Forest, Park Falls, WI; Chippewa National Forest, Cass Lake, MN; Green Mountain National Forest, Rutland, VT; Hiawatha National Forest, Escanaba, MI; Huron-Manistee National Forest, Cadillac, MI; Monongahela National Forest, Elkins, WV; National Forests in Missouri, Rolla, MO; Nicolet National Forest, Rhinelander, WI; Ottawa National Forest, Ironwood, MI; Shawnee National Forest, Harrisburg, IL; Superior National Forest, Duluth, MN; Wayne-Hoosier National Forest, Bedford, IN; White Mountain National Forest, Laconia, NH.

Addresses at each field office are listed in the telephone directories of the respective cities listed above under the heading, "United States Government, Department of Agriculture, Forest Service, National Forest Supervisor."

Categories of individuals covered by the system: Forest Service employees of the Eastern Region who presently are Registered Professional Engineers, Engineers-in-Training, Registered Land Surveyors, Engineers and/or Technicians presently affiliated with an Engineering-related professional or technical society or organization are included in this system of records.

Categories of records in the system: The system consists of a directory listing Registered Professional Engineers, Engineers-in-Training, Registered Land Surveyors, including the name of the State(s) and the Year(s) acquired. The directory also lists the "Professional Society Affiliations" of Land Surveyors and Engineering employees, including society name, category of membership and responsibility.

Authority for maintenance of the system: 5 U.S.C. 0301; 7 CFR 02.60.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Promoting Professional Registration and involvement in Professional and/or Technical societies; and (2) Providing assistance (through the directory listing) to employees currently seeking professional registration; and (3) Providing recognition of employees' efforts in these endeavors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The directory (records) in the form of a spiral-bound booklet is maintained at the applicable address(s) listed above. Also, each individual whose name appears in the directory receives a copy for his personal use.

Retrievability: The directory (records) is indexed by organizational unit within the Region and by name of individual listed therein.

Safeguards: Since a copy of this directory is sent to all the individuals listed in it, no identifiable safeguards exist. Employees are instructed to treat the directory as an Official Forest Service document for in-service only.

Retention and disposal: The directory (record) is maintained for the duration of an employee's registration or society affiliation. All information is deleted when (1) The employee is no longer employed within the region; (2) Is no longer registered and/or is no longer affiliated with a professional society.

System manager(s) and address: Director, Engineering Staff Group, USDA—Forest Service, Eastern Region, 633 West Wisconsin Avenue, Milwaukee, Wisconsin 55203.

Notification procedure: Any Eastern Region employee, past or present, may request information regarding this directory system, or information as to whether the system contains records pertaining to him from the Director, Engineering Staff Group, at the address above, Telephone 414-224-3602, or the appropriate Forest Supervisor at the address previously listed. A request for information pertaining to an individual should contain: Name and address, Unit Headquarters and Particulars involved, i.e., Registered Surveyor, Registered Engineer, etc.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Information in this system comes primarily from individual employees, the employee's supervisor, and line and staff officers.

USDA/FS—33

System name: Law enforcement Investigation Records, USDA/FS

System location: Records in this system are maintained at Forest Service Headquarters in Washington, D.C., the nine Regional Offices and 123 Forest Supervisor Offices. The address for the Headquarters is Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue, SW., Washington, D.C., 20250; the addresses for Regional Forestets and Forest Supervisors are listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Subjects: Individuals against whom allegations of wrongdoing have been made. Principals: Individuals not named as subjects, but yet may be responsible for alleged violations. Complainants: Those who allege wrongdoing. Others: Those closely connected with the matter of investigation.

Categories of records in the system: Files containing investigative and other reports, correspondence, informal notes, statements of witnesses, names, addresses, social security records and dates of birth.

Authority for maintenance of the system: 16 U.S.C. 559.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to appropriate agency, whether Federal, State, or local, charged with the responsibility of investigating or prosecuting a violation of law, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto; (2) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (3) Referral to the Department of Justice for the defense of suits against the United States or its officers, or for the institution of suits for the recovery of claims by the United States Department of Agriculture. (4) Referral to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data is stored on magnetic media and vertical file folders.

Retrievability: Files are maintained under 5340 designation, identified by the individual's name.

Safeguards: Staff are instructed to allow access to authorized persons only. The files are kept in locked file cabinets.

Retention and disposal: Files are retained indefinitely.

System manager(s) and address: Director, Fiscal and Accounting Management Staff, USDA—Forest Service, Washington, D.C., 20250 or the appropriate Regional Forester or Forest Supervisor at the address specified above.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (3)(4)(G), (H), (I), and (f). See 7 CFR 1.23. This exemption will only be used to maintain the efficacy and integrity of lawful investigations, and to prevent access to certain law enforcement files which would alert subjects of investigations that their activities are being scrutinized and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Any individual who feels, however, that he has been denied any right, privilege or benefit for which he would otherwise be eligible as a result of the maintenance of such material may request access to the material. Such requests should be addressed to the appropriate system manager.

USDA/FS—34

System name: Land Adjustments (Purchase, Donation, Exchange) USDA/FS

System location: Records in this system are maintained at Forest Service Headquarters in Washington, D.C., the nine Regional Offices, the ten Experiment Station Offices, Forest Supervisor Offices, and District Ranger Offices. The address for the Headquarters is Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue, SW., Washington, D.C., 20250; the addresses for Regional Foresters, Station Directors and Forest Supervisors are listed in 36 CFR 202.2, Subpart A; and addresses for District Rangers are in the telephone directory of the applicable locality under the heading, United States Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: Individuals who sell, donate, or exchange lands or interests in lands to or with the United States through the Forest Service, USDA.

Categories of records in the system: The system consists of complete files on individual land adjustment cases, including appraisal reports and justification statements for the land adjustment action being taken.

Authority for maintenance of the system: 40 U.S.C. 257, 16 U.S.C. 515-517, 16 U.S.C. 485-486; 16 U.S.C. 569, 16 U.S.C. 555, 40 U.S.C. 258a, 7 U.S.C. 1010, 1011(c), 7 U.S.C. 428a(a), 43 U.S.C. 315g-1, 16 U.S.C. 555a, 16 U.S.C. 1131-1136, 16 U.S.C. 4601-9, 16 U.S.C. 484a, 42 U.S.C. 4601(6) 4601(8), 4621, 4622, 4651, 4653, National Trails 16 U.S.C. 1241-1249, Wild and Scenic Rivers 16 U.S.C. 1271-1287, National Recreation Areas 16 U.S.C. 460p et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referred to (1) Department of Justice for (a) filing condemnation in court and (b) for information in suits filed against the Government, (2) Bureau of Land Management for review of cases involving exchange of public domain lands, (3) Bureau of Outdoor Recreation for review in authorizing use of land and water conservation funds, (4) Treasury Department for tax purposes, (5) Federal Power Commission for licensing of Federal Power Commission projects, (6) Environmental Protection Agency for preparation of environmental statements, (7) Corps of Engineers for information on joint land acquisition projects, (8) General Accounting Office for review of specific cases, (9) Congressional Committees and members of congress for (a) National Forest Reservation Commission for approval of Weeks Law purchases or exchanges, and (b) to appropriation committees for budget purposes, (10) State and local governments for (a) compliance with OMB Circular A-95 and (b), for compliance with the Rare and Endangered Species Act and the Historic and Cultural Preservation Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable field offices and the Washington Office.

Retrievability: Records are indexed by name of individual involved in land adjustment case.

Safeguards: Records are kept in a locked official government office.

Retention and disposal: Records are retained at the applicable office until the cases are closed, at which time one combined record is retained by the applicable Regional Office for a period of twenty-five years, except for deeds and title papers which are retained permanently at the applicable Field Offices.

System manager(s) and address: Director, Lands, Forest Service, USDA, Washington, D.C., 20250 and designees at Region, Station, Forest, Ranger, Research Work Units and Project Headquarters Offices when applicable.

Notification procedure: Any individual may request information regarding this system of record or information as to whether the system contains a record pertaining to him from the Director, Lands, Forest Service, USDA, Washington, D.C., telephone 703-235-8212. He will advise the individual of the locations of any records and the local designated individual responsible for those records at the appropriate Field Offices. A request for information pertaining to an individual should contain:

Name, address, and any available particulars involved in the specific case, i.e., name of owner of properties, location of property and dates of any correspondence, if available, etc.

Record access procedures: Use same procedures as for requesting notifications.

Contesting record procedures: Use same procedures as for requesting notification.

Record source categories: Information in this system comes primarily from individual landowners, employees of the agency or agencies to which cases are referred and contract real property appraisers or consultants which they hire.

USDA/FS—35

System name: Congressional Correspondence Records, USDA/FS.

System location: Records in this system are maintained at Forest Service Headquarters in Washington, D.C., the 9 Regional Offices, the 10 Experiment Station Offices, Area Offices, Forest Supervisor Offices, and District Ranger Offices. The address for the Headquarters is: Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue, SW., Washington, D.C. 20250; the addresses for Regional Foresters, Station Directors, Area Offices, and Forest Supervisors are listed in 36 C.F.R. 200.2, subpart A; and addresses for District Rangers are in the telephone directory of the applicable locality under the heading, U.S. Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: Current Members of the House of Representatives and U.S. Senate.

Categories of records in the system: Files containing congressional letters with attached congressional constituent correspondence; copies of FS responses to written correspondence from congressional members; Congressional Record and newspaper clipping of statements

made by Members of Congress on forestry, forestry legislation or the Forest Service; statistical data on Forest Service activities in the congressional district or State, that is, payments to States and counties from national forest receipts, by congressional district, county, State, and national forest acreage by congressional district, county and State; copies of letters to the record by Forest Service officials summarizing meetings with Congressmen and/or visits to Forest Service offices and National Forest System land by Members and Committees of Congress and their staffs, and biographies of Members of Congress.

Authority for maintenance of the system: 5 U.S.C. 201; 16 U.S.C. 582a—582a-7; U.S.C. 1601-1610.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Members of Congress to enable them to (1) respond to constituents, (2) judge the agency's response to the constituent, (3) obtain factual information on National Forest acreage, Forest Service projects, receipts to States and local governments by district or State, (4) to prepare statements on forestry legislation and issues.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in individual file folders.

Retrievability: Material is filed alphabetically by name.

Safeguards: All information in this file is a matter of public record and subject to the Freedom of Information Act. Special safeguards are not required.

Retention and disposal: Files are retained until a Member leaves Congress. Within the files, copies of correspondence are retained for 12 months. Factual material on Forest Service activities in the District or State are updated annually and previous material destroyed. Statements made in the Congressional Record are retained in the file until the entire file is destroyed.

System manager(s) and address: Director, Legislative Affairs, Forest Service, U.S. Department of Agriculture, 12th and Independence Avenue, SW., Washington, D.C. 20250; appropriate Regional Information Officer; appropriate National Forest Administrative Officer.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him by contacting the appropriate system manager.

Record access procedures: A request for information pertaining to an individual should contain: Name, address, and any available particulars involved in the specific case, that is, dates of correspondence, subject matter, et cetera.

Contesting record procedures: Use same procedures as for notification.

Record source categories: Records in this system come from U.S. Congressmen and replies from within the agency; attachments to congressional correspondence from constituents, newspapers, the Congressional Record, and Forest Service records.

USDA/FS—36

System name: Certified Timber Sale Administrators, USDA/FS.

System location: Forest Service Regional Headquarters and/or Forest Supervisor Headquarters. The addresses for these offices are listed in 36 C.F.R. 200.2, subpart A.

Categories of individuals covered by the system: Employees certified as administrators of timber sale contracts.

Categories of records in the system: Name; grade, and date of individual's certification. Includes record of certification action.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Timber Management at addresses listed above.

Notification procedure: Requests should be directed to the system manager.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Forest Service records of administration experience and training.

USDA/FS—37

System name: Certified Timber Appraisers, USDA/FS.

System location: Office of the Regional Foresters, Forest Supervisors, and the Forest Manager, Savannah River Plant, Aiken, S.C. 29801; the addresses for these offices are listed in 36 C.F.R. 200.2 subpart A.

Categories of individuals covered by the system: Employees certified to appraise timber for sale.

Categories of records in the system: Name, grade, and date of individual's certification. Includes record of certification action.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Timber Management at addresses listed above.

Notification procedure: Send requests for information to the system manager.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Forest Service records of appraisal experience, training, and written, oral or applied examinations.

USDA/FA—38

System name: Certified Check Scaler, USDA/FS.

System location: Records in this system are maintained at the Southern Regional Office, 15 Forest Supervisor Offices and 1 Forest Manager Office. The address of the Southern Regional Office is: Forest Service, USDA, 1720 Peachtree Road, NW., Atlanta, Ga. 30309. The Forest Supervisor Offices are listed in 36 C.F.R. 200.2, subpart A, under Region 8, Southern Region. The address for the Forest Manager is: Forest Manager, Savannah River Plant, P.O. Box A, Aiken, S.C. 29801.

Categories of individuals covered by the system: Employees qualified and authorized to check work of timber workers.

Categories of records in the system: Name, grade, and date of employees certification. Includes record of certification.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Timber Management at addresses listed above.

Notification procedure: Send requests for information to the appropriate system manager.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Forest Service records of administration experience, training, oral, and applied examination.

USDA/FS—39

System name: Certified Timber Marker, USDA/FS.

System location: At headquarters of 15 Forest Supervisor Offices in Region 8, Southern Region, as listed in 36 C.F.R. 200.2 subpart A, and one Forest Manager Office. The address for the Forest Manager is: Forest Manager, Savannah River Plant, P.O. Box A, Aiken, S.C. 29801.

Categories of individuals covered by the system: Employees qualified to mark and make volume estimates of trees for sale.

Categories of records in the system: Name, grade, and date of individual's certification. Includes record of certification action.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Timber Management at addresses listed above.

Notification procedure: Send requests to the appropriate system manager.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Forest Service Records of administration experience and training.

USDA/FS—40

System name: Certified Power Saw Operator, USDA/FS.

System location: At headquarters of 15 Forest Supervisor Offices in Region 8, Southern Region, as listed in 36 C.F.R. 200.2 subpart A, and one Forest Manager Office. The address for the Forest Manager is: Forest Manager, Savannah River Plant, P.O. Box A, Aiken, S.C. 29801.

Categories of individuals covered by the system: Employees who qualify as saw operators.

Categories of records in the system: Name, grade, and date of individual's certification. Includes record of certification action.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Timber Management at addresses listed above.

Notification procedure: Send requests to the appropriate system manager.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Forest Service records of administration experience, training. Information may also come from written, oral, and applied examination.

USDA/FS—41

System name: Certified Pesticide Applicators, USDA/FS.

System location: Records in this system are maintained at the Southern Regional Office and 15 Forest Supervisor Offices and one Forest Manager Office. The address of the southern Regional Office is: Forest Service, USDA, 1720 Peachtree Road, NW., Atlanta, Ga. 30309. The Forest Supervisor Offices are listed in 36 C.F.R. 200.2 subpart A, under Region 8, Southern Region. The address for the Forest Manager is: Forest Manager, Savannah River Plant, P.O. Box A, Aiken, S.C. 29801.

Categories of individuals covered by the system: Forest Service employees who have completed the necessary training to qualify as pesticide applicators.

Categories of records in the system: Name, grade, and date of certification and organization. Includes record of certification action.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Director of Range, Timber, and Wildlife, Forest Service, USDA, 1720 Peachtree Road, NW., Atlanta, Ga. 30309, and the appropriate Forest Supervisor or Forest Manager at the address specified above.

Notification procedure: Any employee may request information regarding the system of records, or information as to whether the system contains records pertaining to him from the system manager. A request for information should contain the name, grade, date of certification, and organization.

Record access procedures: Use same Procedures as for requesting notification.

Contesting record procedures: Use same procedures as for requesting notification.

Record source categories: Forest Service Records of Pesticide Application experience and training obtained from information in employee's personnel file information in this system may also come from written, oral and applied examinations.

USDA/FS—42

System name: Certified Prescriptionists, USDA-FS.

System location: At appropriate Regional headquarters and appropriate Forest Supervisor Offices and one Forest Manager Office. The addresses are listed in 36 C.F.R. 200.2 subpart A. The address for the Forest Manager is: Forest Manager, Savannah River Plant, P.O. Box A, Aiken, S.C. 29801.

Categories of individuals covered by the system: Forest Service employees who have completed the necessary training to qualify as Prescriptionists.

Categories of records in the system: Name, grade, and date of certification and organization. Includes record of certification action.

Authority for maintenance of the system: 16 U.S.C. 476.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by organization and name of individual certified.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until superseded.

System manager(s) and address: Forest Supervisors and Forest Manager at the address specified above.

Notification procedure: Any employee may request information regarding the system of records or information as to whether the system contains records pertaining to him from the system manager. A request for information should contain name and date of certification.

Record access procedures: Use same procedures as for requesting notification.

Contesting record procedures: Use same procedures as for requesting notification.

Record source categories: Forest Service records of prescription experience and training obtained from information in the employee's personnel file. Information in the system may also come from written, oral, and applied examinations.

USDA/FS—43

System name: Emergency Fire Mobilization Plan Directory, USDA/FS.

System location: Records are kept by the Fire Management staff, Forest Service, U.S. Department of Agriculture, Washington, D.C. 20250, and by the respective Regional Office, Forest Supervisor's Office, and Ranger District Office where the individual is employed.

Categories of individuals covered by the system: Employees and cooperators who are involved in wildland fire suppression.

Categories of records in the system: The system may include names, working titles, fire-job qualifications, home addresses and telephone numbers of these individuals.

Authority for maintenance of the system: 16 U.S.C. 551, 5 U.S.C. 301; 7 CFR 2.60

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosed to Federal, State, and local agencies involved in wildland fire protection activities, including but not limited to the Forest Service, Bureau of Land Management, Bureau of Indian Affairs, National Park Service, State Forestry Organizations, and Rural Fire Departments, so that the individuals and their assigned fire crews can be called upon for emergency duty.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information may be kept on file cards, loose-leaf or bound fire mobilization plans, pocket-sized directories, and may be placed on magnetic trap, drums, or disks at Forest Service computer facilities.

Retrievability: System may be indexed by organization, geographic area of residence, fire/job qualifications, or by last name.

Safeguards: Records do not contain information that is considered highly confidential so they may be kept in a general file and in ADP storage systems.

Retention and disposal: The information in this ystem will be maintained currently. Out of date information will be kept in the general files for 10 years and then destroyed.

System manager(s) and address: Directors of Fire Management in the Washington Office and Regional Offices, Forest Fire Management Staff Officers, and District Rangers.

Notification procedure: An employee can obtain the information from the Washington Office, Regional Office, Forest Supervisor's Office, or Ranger District Office under which he is or had been employed. If the specific location of the record is not known the individual may direct his request to the Director of Fire Management in Washington or in the Regional Office of the geographic area where he was employed. A request for information from this system should include name, address, place, period of employment, and position held.

Record access procedures: Use same procedures as for requesting notification.

Contesting record procedures: Use same procedures as for requesting notification.

Record source categories: The information in this system comes primarily from the individual, from other in-service documents, or from supervisory personnel.

USDA/FS—44

System name: Pilot Qualification Record, USDA/FS.

System location: Records in this system are maintained at the Forest Service headquarters of the nine Regional Offices. Addresses are listed in 36 CFR 200.2 subpart A.

Categories of individuals covered by the system: Pilots employed by contractors, aircraft equipment rental vendors, and self-employed pilots providing aviation services to the USDA/FS.

Categories of records in the system: Form 5700-2, Pilot Qualification Record, which includes pilot licenses, ratings, medical examination, flying experience and training, accident records, any records of unsatisfactory performance, and evaluation checkflights and any other data bearing upon the suitability of a pilot.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.60.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referred to Bureau of Land Management and Office of Aircraft Services who contract for similar services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Vertical file folders.

Retrievability: Indexed by the name of the individual.

Safeguards: Records are in the general files in a locked office.

Retention and disposal: Records are updated currently as needed and then filed in the National Archives in accordance with standard procedures. Names may be added or deleted from the list, as appropriate.

System manager(s) and address: Regional Aviation Officers located at the addresses listed above.

Notification procedure: Any individual may request information as to whether he is on the list by writing the system manager. A request for information pertaining to an individual should contain name, FAA pilot license number, and information as to previous employers while performing services for the agency.

Record access procedures: Use same procedures as for requesting notification.

Contesting record procedures: Use same procedures as for requesting notification.

Record source categories: Information in this system comes from Regional Aviation Officers, Contracting Officers, and pilot inspectors.

USDA/FS—45

System name: Accident Notification System, USDA/FS.

System location: The records in this system are maintained in the Forest Service Headquarters Office in Washington, D.C., Regional Offices, Forest Supervisor's Offices, and District Ranger Offices. Addresses of Forest Service offices are listed in the telephone directories of the respective cities under the heading: U.S. Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: Forest Service personnel involved in accident investigations.

Categories of records in the system: The system includes names, working titles, office and home telephone numbers.

Authority for maintenance of the system: 29 CFR 1900, Section 19, Occupational Safety and Health Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. Home telephone numbers are published in Forest Service Manuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders or loose-leaf binders.

Retrievability: Records are indexed by last name.

Safeguards: Records do not contain information that is considered highly confidential, so they may be kept in a general file.

Retention and disposal: The information in this system will be maintained currently; out-of-date information will be destroyed.

System manager(s) and address: Director of Personnel Management, Forest Service, U.S. Department of Agriculture, Room 910 RP/E, P.O. Box 2417, Washington, D.C. 20013.

Notification procedure: Any individual may request information regarding this system of records from the Washington Office Safety and Health Group, Regional Office, Forest Supervisor's Office, or District Ranger's Office.

Record access procedures: Use same procedures as for requesting notification.

Contesting record procedures: Use same procedures as for requesting notification.

Record source categories: The information in this system comes primarily from the individual and from other In-Service documents.

USDA/FS—46

System name: Independent Appraisers, USDA/FS.

System location: Office of the Director of Lands, Forest Service, USDA, Washington, D.C. and those of the Director's designees located in each Regional Forester's office and offices of Forest Supervisors, District Ranger's offices, and Project Headquarters of the Forest Service, USDA. Addresses of the field offices are listed in the telephone directory in the various communities where the headquarters are located under the heading: U.S. Government, Department of Agriculture, Forest Service.

Categories of individuals covered by the system: Appraisers who desire to contract their services with the Forest Service, USDA.

Categories of records in the system: Individual qualifications for appraisal assignments: educational background, appraisal courses taken, professional designations, qualifications as expert witness, clients and list of types of property appraised, years of appraisal experience, sample of work, and any other information the appraiser might provide to reflect his qualifications.

Authority for maintenance of the system: 40 U.S.C. 257, 16 U.S.C. 515-517, 7 U.S.C. 428a (a), 42 U.S.C. 4601 (6), (8), 4621, 4622, 4651, 4653, and other applicable purchase and exchange laws.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable field offices and the Washington Office.

Retrievability: Records are indexed by name of individual.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained and updated as long as there is a sufficient contracting need for the information. When there is no further need for contracting appraisal services or the period between contracting is such that there is no need is to maintain information on available appraisers, the file is destroyed.

System manager(s) and address: Director of Lands, Forest Service, USDA, Washington, D.C., or his designee at the Regional Forester's offices, offices of Forest Supervisors, Ranger Districts, or Project Headquarters.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains a record pertaining to him from the Director of Lands, Forest Service, USDA, Washington, D.C. Telephone 703-235-8212. The individual will be advised of the location of any records and the local designated individual responsible for those records. A request for information pertaining to an individual should contain: name, address, and any available particulars involved in the specific case.

Record access procedures: Use same procedure described under notification procedures.

Contesting record procedures: Use same procedure described under notification procedures.

Record source categories: Information in this system is provided voluntarily by the independent appraisers, and may include information extracted from previous contracts.

USDA/FS—47

System name: Forest Service Placement Availability System, USDA/FS.

System location: The records in this system are maintained in the Forest Service Headquarters Office in Washington, D.C., Regional Offices, and Research Station Offices as listed in 36 CFR 200.2, Subpart A.

Categories of individuals covered by the system: Permanent full-time Forest Service employees in two-grade interval series, grades GS—9 through GS—14, in organizational units which have a Placement Availability System.

Categories of records in the system: The system includes information on above employees' availability for lateral reassignment (geographic availability, functional specialities for which available, reasons for desired move, and supervisor's comments).

Authority for maintenance of the system: 5 CFR 335.102.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records may be stored in the Fort Collins Computer Center (FCCC) or manually in file folders.

Retrievability: Records are indexed by last name, social security number, position, organizational unit, category of availability, and category of organizational interest.

Safeguards: Records are kept in either locked filing cabinets or on tapes which are accessible by special code.

Retention and disposal: Records will be maintained on individuals in the Forest Service or organizational units which elect to have a Placement Availability System. Records may be maintained on employees who have voluntary applications on file for lateral reassignment to organizational units which elect a Placement Availability System. Records will be destroyed on individuals who leave organizational units which have a Placement Availability System.

System manager(s) and address: Director of Personnel Management, Forest Service, U.S. Department of Agriculture, Room 910 RP-E, P.O. Box 2417, Washington, D.C. 20013, or the appropriate Regional Personnal Officer or the appropriate Research Station Deputy Director For Administrative Support Services.

Notification procedure: Any employee may request information regarding the system of records, or information as to whether the system contains records pertaining to him or her from the system manager. A request for information should contain the individual's name and social security number and organizational unit.

Record access procedures: Use same procedures as for requesting notification.

Contesting record procedures: Individual records may be amended or updated at any time, as the individual employee desires. Any part of an employee's record may be contested by that individual. The servicing personnel officer will provide procedural adivce.

Record source categories: The information in the records is furnished by the indiovidual employee, and/or the employee's immediate supervisor.

USDA/FS—48

System name: YCC Long-term Benefit Evaluation, USDA/FS.

System location: Rocky Mountain Forest and Range Experiment Station, 240 West Prospect Street, Fort Collins, CO 80521.

Categories of individuals covered by the system: Former YCC enrollees and their parents or guardians, unsuccessful applicants to the YCC program and their parents or guardians, and individuals in communities local to YCC camps.

Categories of records in the system: Name and address of above persons, signed statement of person's willingness to participate in the study, identification number for each person (not social security number), responses on questionnaires completed at each phase of the study by respondents. Questionnaires will solicit information from respondents on the benefits of the YCC program to the enrollees, to the parents to the community, and to society in general. This information will pertain to the following broad classes of benefits:

a. Increased awareness and appreciation of the environment.
b. Improved work habits and work skills.
c. Improved ability to get along with others.
d. Increased self-confidence.
e. Improvement in the enrollee's basic orientation to life (greater awareness of and direction toward life goals, more physically fit, etc.).
f. Other related benefits of lesser significance.

Questionnaires will also solicit demographic information (race, sex, age, education, etc.) from enrollees.

Authority for maintenance of the system: 16 U.S.C. 1701–1706.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to Colorado State University and the U.S. Department of the Interior. Disclosure may be made to a Congressional Office from the records of an individual in response to an inquiry from the Congressional Office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information will be kept on keypunch cards or data tapes.

Retrievability: Names and addresses of respondents will be kept for the purpose of mailing questionnaires only. An ID number will be assigned to each individual and will be used to determine who has or has not returned the questionnaire and to trace the changes in responses. Names and/or addresses of the respondents will not be associated with the responses on the questionnaires in any way.

Safeguards: The information on respondents obtained in the study is not potentially damaging, but all information will be kept in a small locked room. People who will have access to the information will be those directly involved with the evaluation study; the two principal investigators, the project director, two research assistants and the computer programmer and keypuncher. Aii personnel involved with the study will be instructed on the proper handling of the data.

Retention and disposal: The names and addresses will be destroyed by December 30, 1983. The remaining statistical data will be maintained indefinitely.

System manager(s) and address: Director, Human Resource Programs, USDA, Forest Service, 12th and Independence, Washington, D.C. 20013.

Notification procedure: Any individual may request information regarding the system of records, or information as to whether the system contains records pertaining to him by contacting the system manager.

Record access procedures: To obtain information on the procedure for obtaining access to the records, write to system manager using the above address.

Contesting record procedures: Use the same procedures as for record access.

Record source categories: Names and addresses of enrollees from lists of enrollees at each camp; parents of enrollees from the enrollees whose names are obtained from the camp lists; unsuccessful applicants maintained by YCC administrators in Washington, D.C. and from lists of unsuccessful applicants maintained by agencies in those states not included in the Washington, D.C. list; parents of unsuccessful applicants from the unsuccessful applicants; individuals in communities near YCC camps from those involved in the YCC program and others who would be aware of the people in the communities local to YCC camps who are knowledgeable about the program and could provide valuable information on the program's benefits; other categories are self-explanatory.

USDA/OGC—1

System name: Cases against the Department under the Federal Meat Inspection Act, the Poultry Products Inspection Act, the voluntary inspection, meat and poultry grading, and certification provisions of the Agricultural Marketing Act of 1946, and related laws, USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Acts who bring suit against the Government or a Government official pursuant to, or as a consequence of the Department's administration of, the subject Acts.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to the subject Acts.

Authority for maintenance of the system: 21 U.S.C. 601 et seq., 21 U.S.C. 451 et seq., 7 U.S.C. 1621 et seq., and 7 U.S.C. 450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administration tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Regulatory Division, OGC, USDA, Washington, D.C., telephone 202-447-5550. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—2

System name: Cases against the Department under the Humane Methods of Livestock Slaughter law (i.e., the Act of August 27, 1958), USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Government official pursuant to, or as a consequence of the Department's administration, the subject Act.

Categories of records in the system: The system consits of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to the subject Act.

Authority for maintenance of the system: 7 U.S.C. 1901-1906.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations: (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Regulatory Division, OGC, USDA, Washington, D.C., telephone 202-447-5550. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—3

System name: Cases against the Department under the 28 Hour Law, as amended, USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recocmmendations pertaining to the subject Act.

Authority for maintenance of the system: 45 U.S.C. 71-74.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Regulatory Division, OGC, USDA, Washington, D.C., telephone 202-447-5550. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—4

System name: Cases against the Department under the various Animal Quarantine and related laws, USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to the subject Acts.

Authority for maintenance of the system: 21 U.S.C. 101-135b, 19 U.S.C. 1306, 1202, 46 U.S.C. 466a-466b, and 7 U.S.C. 450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Regulatory Division, OGC, USDA, Washington, D.C., telephone 202-447-5550. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—5

System name: Cases against the Department under the various Plant Protection and Quarantine and related laws, USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Acts who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Acts.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to the subject Acts.

Authority for maintenance of the system: 7 U.S.C. 145, 147a, 148-148e, 149, 150-150g, 150aa-150jj, 151-165, 167, 166, 281-282, 450, 1651-1656, 2801-2813.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives

and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Regulatory Division, OGC, USDA, Washington, D.C., telephone 202-447-5550. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—6

System name: Cases by the Department under the Federal Meat Inspection Act, the Poultry Products Inspection Act, and the voluntary inspection, meat and poultry grading, and certification provisions of the Agricultural Marketing Act of 1946, USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Acts and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Acts.

Authority for maintenance of the system: 21 U.S.C. 601 et seq., 21 U.S.C. 451 et seq., and 7 U.S.C. 1621 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the reponsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—7

System name: Cases by the Department under the Humane Methods of Livestock Slaughter law (i.e., the Act of August 27, 1958), USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 1901-1906.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—8

System name: Cases by the Department under the 28 Hour Law, as amended, USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 45 U.S.C. 71-74.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant therto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery inclusing disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office of file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—9

System name: Cases by the Department under the various Animal Quarantine and related laws, USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Acts and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Acts.

Authority for maintenance of the system: 21 U.S.C. 101-135b, 19 U.S.C. 1306, 1202, and 46 U.S.C. 466a-466b.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director of Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures totection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—10

System name: Cases by the Department under the various Plant Protection and Quarantine and related laws, USDA/OGC.

System location: Office of the General Counsel, Regulatory Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Acts and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Acts.

Authority for maintenance of the system: 7 U.S.C. 145, 147a, 148-148e, 149, 150-150g, 150aa-150jj, 151-165, 167, 166, 281-282, 1651-1656, 2801-2813.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director of Regulatory Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the require-

ments of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—11

System name: Community Development Division Litigation, USDA/OGC

System location: Office of the General Counsel, USDA 14th and Independence Ave., S.W., Washington, D.C. 20250, and offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois, Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma; Temple, Texas. Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Past and present parties to litigation involving FmHA program participants and parties against whom litigation was proposed but not commenced.

Categories of records in the system: The system consists of records on individual litigation cases, sometimes including FmHA loan dockets, copies of documents filed with State and Federal agencies, court records, legal opinions, correspondence, investigation reports, contracts, and related documents.

Authority for maintenance of the system: 5 U.S.C. 201, 42 U.S.C. 1471-1490; 4401-19; 4453-55 and 7 U.S.C. 1021-29.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, or any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (3) Referral to Department of Justice for suits against the United States or its officers or instrumentalities concerning USDA activities. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders in file cabinets.

Retrievability: Records are indexed by name; sometimes cross-indexed.

Safeguards: Files stored in Attorney's office.

Retention and disposal: Files sent to Federal Records Center when cases are closed, some retained indefinitely for research purposes.

System manager(s) and address: Director, Community Development Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address specified above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or the appropriate Regional Attorney or Attorney-in-Charge. A request should indicate the name, address and particulars involved.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the System Manager or appropriate Regional Attorney or Attorney-in-Charge.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Records in this system come from Federal and State courts, witnesses, agency employees, attorney, title companies, Farmers Home Administration loan, grant, and applicant dockets, and the Department of Justice.

Systems exempted from certain provisions of the act: Those records in this system which consist of investigatory material compiled for law enforcement purposes have been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—12

System name: Farmers Home Administration (FmHA) General Case Files, USDA/OGC.

System location: Offices of Regional Attorneys and Attorney-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Primarily applicants for FmHA financial assistance and FmHA borrowers and grantees; in some regional offices also parties to litigation, purchasers of FmHA security property, vendors to FmHA borrowers, contractors and builders of FmHA financed projects, packagers of FmHA loan dockets, real estate salesmen and brokers dealing with FmHA property applicants or having a security interest in property owned or financed or to be financed by FmHA or to whom FmHA notes are assigned, present and former owners and holders of an interest in real property serving as security for FmHA loans, third party converters, and individuals who file claims against FmHA.

Categories of records in the system: Records on individual applicant, borrower or grantee cases, sometimes including FmHA loan dockets, copies of promissory notes and security instruments, title evidence, legal opinions, correspondence, investigation reports, contracts, pleadings, legal documents covering foreclosures and loan or grant making or servicing, title opinions, contracts, closing instructions, notices, and related documents.

Authority for maintenance of the system: 5 U.S.C. 301, 42 U.S.C 1471-1490, 4401-19; 4453-55 and 7 U.S.C 1921-92.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral of certain records to trustees for reconveyance or foreclosure of deeds of trust, or correction of errors, to appropriate State and County officials for recording or filing of legal documents, to title companies or Bureau of Indian Affairs for title clearance, to appropriate agencies and individuals for institution of nonjudicial foreclosure and other loan servicing and liquidation actions, and to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (2) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, or any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (3) Referral to Department of Justice for suits against the United States or its officers or instrumentalities concerning USDA activities. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the addresses listed above.

Retrievability: Records are usually indexed by the name of the individual on whom the file is maintained. In some instances records are maintained in numerical order corresponding to the FmHA ac-

count number. In some instances they are also cross-indexed by the names of individuals mentioned in the files.

Safeguards: Records are kept in locked offices. Secretive materials such as Office of Investigation reports are kept in locked drawers or file cabinets.

Retention and disposal: Records are usually retained for 12 to 18 months after the case is closed. In some Regional Offices certain records are maintained indefinitely, primarily for research value.

System manager(s) and address: Appropriate Regional Attorney or Attorney-in-Charge.

Notification procedure: Any individual may request information regarding this system of records, or information whether the system contains records pertaining to him from the appropriate System Manager. A request should contain the name and address of the individual involved and as much other identifying information as possible.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request for same to the appropriate System Manager at the above address.

Contesting record procedures: Same as Records Access Procedures.

Record source categories: Information in this system comes primarily from applicants, borrowers, grantees, FmHA or other USDA employees, attorneys, credit reporting agencies, title companies, and State and Federal government agencies.

Systems exempted from certain provisions of the act: Those records in this system which consist of investigatory material compiled for law enforcement purposes have been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (G), (H) and (I), and (f). See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—13

System name: Claims by and Against USDA under the Food Assistance Legislation, USDA/OGC.

System location: Office of the General Counsel, Food and Nutrition Division, USDA, Washington, D.C. and Offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; Raleigh, North Carolina; San Francisco, California; Santurce, Puerto Rico; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel".

Categories of individuals covered by the system: Individuals who seek to participate in the Food Stamp Act of 1964; National School Lunch Act, or Child Nutrition Act of 1966, and individuals reported to be in violation of one or more of these acts.

Categories of records in the system: The system consists of files on all individual cases, including investigation reports, pleadings, transcripts, legal correspondence, statements of witnesses, and related documents.

Authority for maintenance of the system: 7 U.S.C. 2011-2026; 42 U.S.C. 1751-1763; 42 U.S.C. 1771-1786.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (2) Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (3) Referral to the Department of Justice for defense of suits brought against the United States or its officers, and for institution of suit for recovery of claims by USDA. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable locations listed above.

Retrievability: Records are indexed by the name of the individual involved.

Safeguards: Records are kept in a locked office file cabinet.

Retention and disposal: Records are maintained for a length of time left to the discretion of the Director of the Food and Nutrition Division or Regional Attorney or Attorney-in-Charge, after legal action has been concluded.

System manager(s) and address: Director, Food and Nutrition Division, OGC, USDA, Washington, D.C. 20250. Each Regional Attorney or Attorney-in-Charge at the locations specified above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Food and Nutrition Division, OGC, USDA, Washington, D.C., telephone 202-447-4631, or the appropriate Regional Attorney or Attorney-in-Charge at the locations specified above. A request for information pertaining to an individual should contain his name, address, and the particulars involved (i.e. the date of any action complained of, date a claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may obtain information concerning the process for contesting a record in the system that pertains to him by following the procedures referred to directly above.

Record source categories: Information in this system comes primarily from claimants, witnesses, agency employees, and investigative personnel.

Systems exempted from certain provisions of the act: The portions of the system consisting of investigatory material that has been compiled for law enforcement purposes have been exempted pursuant to 5 U.S.C. 552a(k)(2), from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). Individual access to these files could impair investigations and alert the subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action. Disclosure of investigative technique and procedures, and of the identity of confidential sources of information, would hamper law enforcement activity.

USDA/OGC—14

System name: Perishable Agricultural Commodities Act, USDA/OGC—disciplinary proceedings to deny issuance of a license to an applicant thereunder or to suspend or revoke a license already issued, or to publish the facts and circumstances of violations of the Act.

System location: Office of the General Counsel, Food and Nutrition Division, USDA, Washington, D.C., and offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Missoula, Montana; Atlanta, Georgia; Ogden, Utah; Chicago, Illinois; Portland, Oregon; Denver, Colorado; Harrisburg, Pennsylvania; San Francisco, California; Santurce, Puerto Rico; Little Rock, Arkansas; Shawnee Mission, Kansas; Milwaukee, Wisconsin; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who apply for or who hold licenses to do business in the perishable agricultural commodities industry in their individual capacities; partners of partnerships which apply for or which hold licenses to do business in the perishable agricultural commodities industry; officers, directors and holders of 10 percent or more of the stock of corporations which apply for or hold licenses to do business in the perishable agricultural commodities industry under the Perishable Agricultural Commodities Act of 1930, as amended, are included in this system of records.

Categories of records in the system: The system consists of reports of investigation, statements of witnesses, agency reports.

Authority for maintenance of the system: 7 U.S.C. 499a et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Use by the Office of the General counsel for (1) administrative proceedings pursuant to the Administrative Procedure Act to deny the issuance of a license to an applicant therefor to do business in the perishable agricultural commodities industry; (2) administrative proceedings pursuant to the Administrative Procedure Act to suspend or revoke an already existent license, or alternatively to have the facts and circumstances of violations published for violations thereof by the holder of such license; (3) disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the addresses listed above.

Retrievability: Records are indexed by name of individual license applicant or holder.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Director, Food and Nutrition Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the addresses specified above.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or to escape administrative procedures to deny to them the issuance of a license or to suspend or revoke such license, or to have published the facts and circumstance of the violations. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—15

System name: Agricultural Stabilization and Conservation Service (ASCS), Foreign Agricultural Service (FAS), Office of the General Sales Manager (OGSM) and Commodity Credit Corporation (CCC) cases, USDA/OGC.

System location: Office of the General Counsel, Washington, D.C., and/or Offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California: Santurce, Puerto Rico; Shawnee Mission, Kansas; Milwaukee, Wisconsin; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who apply for and/or receive marketing quotas or acreage allotments from ASCS, or loans, payments, credits or indemnities from ASCS, FAS, OGSM or CCC; or who apply for and/or enter into contracts or agreements with ASCS, FAS, OGSM or CCC or participate in programs financed or administered by ASCS, FAS, OGSM or CCC, or who violate or may have violated ASCS, FAS, OGSM or CCC regulations, federal or state laws, or who may otherwise be involved in litigation with ASCS, FAS, OGSM or CCC.

Categories of records in the system: Contains files on individual cases, including but not limited to the original or copies of loan applications, program forms, security agreements, mortgages, notes, program participation agreements, repayment records, financial status reports, statements of account, collector's contact report, agency recommendations for making, servicing or liquidating loans, collection of civil penalties, readjustment of allotments and quotas, contracts, closing instructions, legal opinions, title evidence, investigation reports, agency recommendation for the institution of respondence and material, intradepartmental memos and interdepartmental letters, pleadings, transcripts of hearings, and other legal documents.

Authority for maintenance of the system: 7 U.S.C. 135b note, 442-449, 612c-3, 624, 1110-1162, 1282-1292, 1301-1393, 1421-1449, 1692, 1701-1710, 1721-1725, 1731-1736c, 1707a, 1781-1787, 1851-1857; 15 U.S.C. 713a, 714-714p; 16 U.S.C. 590g-590q, 1501-1510; 18 U.S.C. 286-287, 371, 1001; 19 U.S.C. 1202 Note, 31 U.S.C. 231-235; 7 C.F.R. 2.31, Part 6, Part 16, Part 17, Part 20, Part 700-896, Chap. XIV, 22 C.F.R. Part 211.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the U.S. Department of Justice for defense of suits brought against the United States, its agencies or its officers, and for institution of suits for recovery of claims by USDA or CCC; (2) referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (3) referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable addresses listed above.

Retrievability: Records are indexed by name of individual on whom the file is primarily maintained. In some instances, they are also cross indexed by the names of other individuals mentioned in the files.

Safeguards: Records are kept in a locked office, locked file cabinet or locked drawers.

Retention and disposal: Records are maintained until case is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Foreign Agriculture and Commodity Stabilization Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address specified above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Foreign Agriculture and Commodity Stabilization Division, OGC, USDA, Washington, D.C., 20250, telephone 202-447-2562, or the appropriate Regional Attorney or Attorney-in-Charge at the address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Foreign Agriculture and Commodity Stabilization Division, OGC, USDA, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain his name, address, and particulars involved.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request for same to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as record access procedures.

Record source categories: From individuals categorized above, referring agency, employees, farmers, warehousemen, borrowers, loan applicants, title companies, title and lien searches, investigative personnel, attorneys, and from others.

Systems exempted from certain provisions of the act: The portion of this system which consist of investigatory material compiled for law enforcement purposes, has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f). See 7 CFR 1.123. Individual access to these files could (1) impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution; and (2) disclose investigative techniques and procedures and the existence and identity of confidential sources.

USDA/OGC—16

System name: Federal Crop Insurance Corporation (FCIC) Cases, USDA/OGC.

System location: Office of the General Counsel, Washington, D.C. and/or Offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Portland, Oregon; Chicago, Illinois; San Francisco,

California; Denver, Colorado; Shawnee Mission, Kansas; Harrisburg, Pennsylvania; Stillwater, Oklahoma; Little Rock, Arkansas; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who apply for and/or have insurance contracts with the FCIC; who have dilinquent premiums or are otherwise indebted to FCIC; who have indemnity claims against FCIC; who are suspected of fraudulent dealings with FCIC; who violate or may have violated FCIC regulations, federal or state laws; or who may otherwise be involved in litigation with FCIC.

Categories of records in the system: Contains files on individual cases, including but not limited to the originals or copies of insurance contracts (application, policy and endorsements), reports of FCIC personnel with respect to the application, claims for indemnities or other matters pertaining to the contract, program forms, acreage reports, production records, statements of account, financial report, collector's contact report, agency recommendation for services, agency recommendation for the institution of criminal and civil action, investigation reports, correspondence, legal opinions, various correspondence and material, intra- and inter-departmental memos and letters, transcripts of hearings, pleadings and other legal documents.

Authority for maintenance of the system: 7 U.S.C. 1501-1520; 18 U.S.C. 657-658, 1001, 1006, 1014, 1903; 31 U.S.C. 231; 7 CFR 2.31, 401-413.25

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the U.S. Department of Justice for defense of suits brought against the United States, its agencies, or its officers, and for institution of suits for recovery of claims by USDA; (2) referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (3) referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual on whom the file is primarily maintained. In some instances, they are also cross indexed by the names of other individuals mentioned in the files.

Safeguards: Records are kept in a locked office, locked cabinets or locked drawers.

Retention and disposal: Records are maintained until case is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Foreign Agricultural and Commodity Stabilization Division, OGC, USDA, Washington, D.C. 20250, or the appropriate regional Attorney or Attorney-in-Charge at the address specified above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Foreign Agriculture and Commodity Stabilization Division, OGC, USDA, Washington, D.C., telephone 202-447-2562, or the appropriate Regional Attorney or Attorney-in-Charge at the address listed above. If the specified location of the record is not known, the individual should address his request to the Director, Foreign Agricultural and Commodity Stabilization Division, OGC, USDA, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain his name, address, and particulars involved.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to a record in the system which pertains to him by submitting a written request for same to the appropriate official referred in the preceding paragraph.

Contesting record procedures: Same as for record access procedures.

Record source categories: From individuals categorized above, referring agency employees, farmers, investigative personnel, attorneys and from others.

Systems exempted from certain provisions of the act: The portion of this system which consist of investigatory material compiled for law enforcement purpose has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f). See 7 CFR 1.123. Individual access to these files could (1) impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution; and (2) disclose investigative techniques and procedures and the existence and identity of confidential sources.

USDA/OGC—17

System name: Administrative proceedings brought by individuals pursuant to the Plant Variety Protection Act or the Egg Products Inspection Act, as amended, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated by the subject Act who file a petition with the Secretary pursuant to the authority of the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2321 et seq. or 21 U.S.C. 1044 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibiiity of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—18

System name: Administrative proceedings brought by the Department pursuant to the Plant Variety Protection Act, the Federal Seed Act, or the Agricultural Marketing Act of 1946, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2321 et seq., 7 U.S.C. 1561 et seq. or 7 U.S.C. 1621 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—19

System name: Administrative proceedings brought pursuant to the authority of section 8c(15)(a) of the Agricultural Marketing Agreement Act of 1937, as amended, or the Anti-Hog-Cholera Serum and Hog Cholera Virus Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated by the subject Act who file a petition with the Secretary of Agriculture pursuant to the authority of the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations.

Authority for maintenance of the system: 7 U.S.C. 601 et seq. or 7 U.S.C. 851 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—20

System name: Administrative proceedings brought pursuant to the authority of the Cotton Research and Promotion Act, the Potato Research and Promotion Act or the Egg Research and Consumer Information Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated by the subject Act who file a petition with the Secretary of Agriculture pursuant to the authority of the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2101 et seq., 7 U.S.C. 2611 et seq. or 7 U.S.C. 2701 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record

within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—21

System name: Administrative proceedings brought pursuant to the Tobacco Inspection Act or the United States Grain Standards Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who file a petition pursuant to the authority of the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 511 et seq., 7 U.S.C. 71 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the proceeding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—22

System name: Cases brought by the Government pursuant to the Cotton Futures provisions of the Internal Revenue Code of 1954, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Acts and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 26 U.S.C. 4851-54, 61-65, 71-73, 75-77, 6001, 6804, 7233, 7263, 7493, 7701(a)(1), (11), (12).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director of Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape pros-

ecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—23

System name: Cases brought pursuant to the United States Grain Standards Act or the Federal Seed Act in which the Government is defendant, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated or not regulated by the subject Act who bring suit against the Government or a Government official pursuant to, or as a consequence of the Department's administration of the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 71 et seq. or 7 U.S.C. 1561 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director of Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the proceeding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—24

System name: Court cases brought by the Government pursuant to either the Agricultural Marketing Act of 1946 or the Tobacco Inspection Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 1621 et seq. or 7 U.S.C. 511 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising in general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—25

System name: Court cases brought by the Government pursuant to either the Agricultural Marketing Agreement Act of 1937, as amended or the Anti-Hog-Cholera Serum and Hog Cholera Virus Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C., and Offices of Regional Attorneys, OGC, USDA, at the following locations: Atlanta, Georgia; Portland, Oregon; San Francisco, California; Temple, Texas. Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 601 et seq. or 7 U.S.C. 851 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or

order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising in general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—26

System name: Court cases brought by the Government pursuant to either the Cotton Research and Promotion Act, Potato Research and Promotion Act or the Egg Research and Consumer Information Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regarded by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendatidons pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2101 et seq., 7 U.S.C. 2611 et seq. or 7 U.S.C. 2701 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising in general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—27

System name: Court cases brought by the Government pursuant to either the Export Apple and Pear Act or the Export Grape and Plum Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regarded by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 581 et seq., or 7 U.S.C. 591 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising in general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to

take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—28

System name: Court cases brought by the Government pursuant to either the Cotton Statistics and Estimates Act of 1927 or the United States Cotton Standards Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regarded by the subject Act and against whom the Department recommends that an action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 471 et seq., or 7 U.S.C. 51 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising in general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal. (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

USDA/OGC—29

System name: Court cases brought by the Government pursuant to either the Naval Stores Act, or the Tobacco Seed and Plant Exportation Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 91 et seq., or 7 U.S.C. 516 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director of Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—30

System name: Court cases brought by the Government pursuant to either the Peanut Statistics Act or the Tobacco Statistics Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 951 et seq. or 7 U.S.C. 501 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and either arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—31

System name: Court cases brought by the Government pursuant to either the Plant Variety Protection Act or the Egg Products Inspection Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2321 et seq. or 21 U.S.C. 1031 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—32

System name: Court cases brought by the Government pursuant to either the Produce Agency Act, or the Process or Renovated Butter Provisions of the Internal Revenue Code of 1954, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 491 et seq. or 26 U.S.C. 4817, 4826 and 7235(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—33

System name: Court cases brought by the Government pursuant to either the United States Grain Standards Act or the Federal Seed Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 71 et seq. or 7 U.S.C. 1551, et seq..

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or excape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—34

System name: Court cases brought by the Government pursuant to the Agricultural Fair Practices Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2301 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the indivinal.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—35

System name: Court cases brought pursuant to either the Cotton Research and Promotion Act, Potato Research and Promotion Act or the Egg Research and Consumer Information Act in which the Government is defendant, USDA/OGC.

System location: Office of the General Counsel, Marketing division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pusuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2101 et seq., 7 U.S.C. 2611 et seq. or 7 U.S.C. 270 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file Cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Market-

ing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—36

System name: Court cases brought pursuant to the Agricultural Marketing Act of 1946 or the Tobacco Inspection Act in which the Government is defendant, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 1621 et seq. or 7 U.S.C. 511 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—37

System name: Court cases brought pursuant to the authority of the Agricultural Marketing Agreement Act of 1937, as amended or the Anti-Hog-Cholera Serum and Hog Cholera Virus Act in which the Government is defendant, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C., and Offices of Regional Attorneys, OGC, USDA, at the following locations: Atlanta, Georgia; Portland, Oregon; San Francisco, California; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 601 et seq. or 7 U.S.C. 851 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, Magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney at the address specified above.

Notification procedure: Any individual may request information regarding this system or records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935, or the appropriate Regional Attorney at the address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Marketing Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—38

System name: Court cases brought pursuant to the Plant Variety Protection Act or the Egg Products Inspection Act in which the Government is defendant, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2321 et seq. or 21 U.S.C. 1031 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—39

System name: Cases against the Department under the Horse Protection Act of 1970, as amended, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to the subject Act.

Authority for maintenance of the system: 15 U.S.C. 1821 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—40

System name: Cases against the Department under the Laboratory Animal Welfare Act, as amended, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2131 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individ-

ual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.)

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—41

System name: Cases by the Department under the Horse Protection Act of 1970, as amended, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated or not regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 15 U.S.C. 1821 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This sytem has been exempted pursuant to 5 U.S.C. 552a (k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—42

System name: Cases by the Department under the Laboratory Animal Welfare Act, as amended, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 2131 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2 from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—43

System name: Administrative proceedings brought by the Department, court cases in which the Government is plaintiff and court cases in which the Government is a defendant brought pursuant to the United States Warehouse Act, USDA/OGS.

Security classification:

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government or individuals regulated or not regulated by the subject Act who brings suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 241-273.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office of file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate record centers in accordance with such directives.

System manager(s) and address: Director Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Marketing Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witness, agency employees, and investigative personnel.

Systems exempted from certain provisions of the act: The portions of this system which involves records pertaining to administrative proceedings brought by the Department or court cases in which the Government is plaintiff has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (g), (h), (i) and (f) because they consist of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—44

System name: Cases by and against the Department under the Virus-Serum Toxin Act, USDA/OGC.

System location: Office of the General Counsel, Marketing Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government, and individuals regulated or not regulated by the subject Act who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations, pertaining to the subject Act and are an alleged violation of the subject Act.

Authority for maintenance of the system: 21 U.S.C. 151-158.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Marketing Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Marketing Division, OGC, USDA, Washington, D.C. telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system come primarily from witnesses, agency employees, and investigative personnel.

Systems exempted from certain provisions of the act: The portions of this system which involve cases by the Department under the Virus-Serum Toxin Act have been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), (I) and (f) because they consist of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—45

System name: Acquisitions—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illi-

nois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel".

Categories of individuals covered by the system: Persons having or believed to have an interest in lands which are expected to be or have been acquired by the United States by condemnation, direct purchase, or donation, for the use of USDA agencies.

Categories of records in the system: Partial or complete records on individual cases, sometimes including legal opinions, correspondence, title evidence, deeds, affidavits, certificates of use and possession, pleadings, transcripts, and related documents.

Authority for maintenance of the system: 16 U.S.C. 460 1-4 through 460 1-11; 16 U.S.C. 473-482, 535, 551 and 555; 23 U.S.C. 205; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) Department of Justice for institution of condemnation proceedings, (2) title companies for title evidence, (3) notaries public for acknowledgement, and (4) appropriate State and County officials for filing or recording as required by law. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees and title companies.

USDA/OGC—46

System name: Claims, other than Tort claims, by or against the Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel".

Categories of individuals covered by the system: Individuals who have filed appeals relating to the breach of terms or provisions of a contract with the United States Forest Service.

Categories of records in the system: The system consists of files on individual appeals, including pleadings, agency reports, and correspondence.

Authority for maintenance of the system: 16 U.S.C. 471-2, 16 U.S.C. 551, 7 C.F.R. Part 24, 36 C.F.R. Part 211.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used by attorneys in all phases of preparing and conducting hearings before the United States Department of Agriculture Board of Contract Appeals. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: The information in this system, comes primarily from claimants, witnesses, agency employees, and investigative personnel.

USDA/OGC—47

System name: Contract Appeals—Forest Service—USDA/OGC

System location: Office of the General Counsel, natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who have filed appeals relating to the breach of terms or provisions of a contract with the United States Forest Service.

Categories of records in the system: The system consists of files on individual appeals, including pleadings, agency reports, and correspondence.

Authority for maintenance of the system: 16 U.S.C. 471-2, 16 U.S.C. 551, 7 CFR Part 24, 36 CFR Part 211.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used by attorneys in all phases of preparing and conducting hearings before

the United States Department of Agriculture Board of contract Appeals. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: The information in this system, comes primarily from the appellant, witnesses, agency employees, and private experts.

USDA/OGC—48

System name: Conveyances—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Parties or potential parties (1) to transactions involving the conveyance, reconveyance, exchange, quitclaim or other disposal of lands or interests therein owned or claimed by the United States in behalf of USDA agencies, (2) having boundary disputes with USDA agencies, and (3) claiming title to lands also claimed by the United States for the use of USDA agencies.

Categories of records in the system: Partial or complete records on individual cases, sometimes including legal opinions, correspondence, title evidence, deeds, affidavits, certificates of use and possession, pleadings, transcripts, and related documents.

Authority for maintenance of the system: 7 U.S.C. 1011(c); 7 U.S.C. 2253; 16 U.S.C. 460 l-8 and 460 q; 16 U.S.C. 485-486, 516, 519, 533, 555a, 565b, 567b; 40 U.S.C. 471, 484(c); 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The referral to (1) Department of Justice or United States Attorney for institution of ejectment or similar actions or to bring or defend quiet title actions, (2) title companies for title evidence, (3) notaries public for acknowledgment, and (4) appropriate State and County officials for filing or recording as required by law. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees and title companies.

USDA/OGC—49

System name: Easements—Forest Service—USDA/OGC

System location: Office of the General Counsel, natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons having or believed to have an interest in lands across which the United States has acquired or expects to acquire an easement by direct purchase or donation, for the use of USDA agencies.

Categories of records in the system: Partial or complete records on individual cases, sometimes including legal opinions, correspondence, title evidence, deeds, affidavits, certificates of use and possession, pleadings transcripts, and related documents.

Authority for maintenance of the system: 16 U.S.C. 532-538 and 551; 23 U.S.C. 205; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) title companies for title evidence, (2) notaries public for acknowledgment, and (3) appropriate State and County officials for filing or recording as required by law. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees and title companies.

USDA/OGC—50

System name: Forest Appeals—Forest Service—USDA/OGC

System location: Office of the General Counsel, natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who have filed appeals with the United States Department of Agriculture Board of Forest Appeals.

Categories of records in the system: The system consists of files on individual appeals, including pleadings, agency reports, and correspondence.

Authority for maintenance of the system: 16 U.S.C. 471-2, 16 U.S.C. 551, 36 CFR Subpart B.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used by attorneys in all phases of preparing and conducting the hearings before the United States Department of Agriculture Board of Forest Appeals. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: The information in this system, comes primarily from the appellant, witnesses, agency employees, and private experts.

USDA/OGC—51

System name: General Case Files—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Parties involved or expected to be involved in negotiations, administrative appeals, litigation, or other attempts to resolve legal issues or disputes pertaining to those aspects of the organization, administration, regulations and other activities relating to the forestry and lands of the USDA not provided for under another system of OGC records. This includes but is not limited to land use planning, wilderness, forest practice, weather modification, and other environmental issues.

Categories of records in the system: Partial or complete records on individual cases sometimes including investigation reports, copies of contracts or permits, legal opinions, pleadings, transcripts, correspondence, notices of appeal, decisions of forest officers, witness statements, and related documents.

Authority for maintenance of the system: 16 U.S.C. 471-583, 661-63, 668aa-bb, 683, 1001-09, 1131-32 and 1271-75; 42 U.S.C. 4321-74; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to Department of Justice and United States Attorneys to defend suits brought against the Government or its officers. Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute or by rule, regulation or order issued pursuant thereto. Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees, witnesses, attorneys and investigative personnel.

USDA/OGC—52

System name: Grazing—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons grazing, who have grazed, or who are expected to graze livestock on land owned by the United States and administered by USDA agencies.

Categories of records in the system: Partial or complete records on individual cases sometimes including investigation reports, copies of contracts or permits, legal opinions, pleadings, transcripts, correspondence, notices of appeal, decisions of the Board of Forest Appeals or Agriculture Board of Contract Appeals, and related documents.

Authority for maintenance of the system: 7 U.S.C. 1011; 16 U.S.C. 472 and 551; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to United States Attorney or Department of Justice to defend suits brought against the Government or its officers. Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute or by rule, regulation or order issued pursuant thereto. Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees, witnesses, attorneys and investigative personnel.

USDA/OGC—53

System name: Insecticide, Fungicide, Herbicide, and Rodenticide Cases—Soil Conservation Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons claiming that certain existing or proposed United States Department of Agriculture activities involving the application of insecticides, pesticides, fungicides. rodenticides, herbicides, nematocides, defoliants, desiccants or plant regulators may be unlawful, and parties or potential parties to litigation or administrative hearings involving such activities.

Categories of records in the system: Partial or complete records files on individual cases, sometimes including investigation reports, copies of contracts or permits, pleadings, transcripts, correspondence, witness statements, legal opinions, and related documents.

Authority for maintenance of the system: 7 U.S.C. 135-36y; 42 U.S.C. 4321-74; 5 U.S.C. 301; 44 U.S.C. 3101; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) Department of Justice to defend suits brought against the Government or its officers and (2) Environmental Protection Agency (EPA) for administrative handling under the above-cited authority. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained or, in some instances, cross-indexed by the names of other individuals mentioned in the files.

Safeguards: Records are kept in locked offices, with pending case files and investigation reports being kept in locked drawers.

Retention and disposal: Records are retained up to 5 years after case is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the

Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: The individuals in the system, agency and EPA employees, witnesses, attorneys, and investigative personnel.

USDA/OGC—54

System name: Land Acquisitions—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals from whom the Forest Service purchases a fee interest in real estate.

Categories of records in the system: The system consists of files on individual sellers of land, including options and title information.

Authority for maintenance of the system: 16 U.S.C. 515-517, 555, 4601-4609, and 7 U.S.C. 428a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used by attorneys in title clearance and acquisition closings. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: The information in this system comes primarily from the individuals from whom the land is being purchased, abstract and title companies, and agency employees.

USDA/OGC—55

System name: Land Exchanges, General Exchange Act—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA; Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who have offered to exchange private lands for National Forest lands or National Grasslands.

Categories of records in the system: The system consists of files on individual exchanges, including offers, title information, and correspondence.

Authority for maintenance of the system: 16 U.S.C. 485, 486.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used by attorneys in title evaluation and exchange closings. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: The information in the system comes primarily from the exchange proponent, title and abstract companies, and agency employees.

USDA/OGC—56

System name: Land Exchanges, other than Exchange Act—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who have offered to exchange private lands for National Forest lands or National Grasslands.

Categories of records in the system: The system consists of files on individual land exchanges, including title information and agency reports.

Authority for maintenance of the system: 16 U.S.C. 516, 555a and 484a, and many other general and specific acts authorizing land exchanges.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used by attorneys in title examination and exchange closings. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: The information in this system comes primarily from the land exchange proponent, title and abstract companies, and agency employees.

USDA/OGC—57

System name: Leases—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons leasing or intending to lease property to or from USDA agencies; persons occupying property subject to or under such leases or proposed leases, and persons having or claiming an interest in land covered by such leases or proposed leases.

Categories of records in the system: Partial or complete records on individual cases sometimes including investigation reports, copies of contracts, leases or permits, legal opinions, pleadings, transcripts, correspondence, and related documents.

Authority for maintenance of the system: 7 U.S.C. 1011(c); 16 U.S.C. 460d-2 and 580g; 43 U.S.C. 931c-d; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to Department of Justice and United States Attorneys to defend suits brought against the Government or its officers. Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto. Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees, witnesses, attorneys and investigative personnel.

USDA/OGC—58

System name: Legislation—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons occupying USDA lands who are involved or expected to be involved in disputes concerning the applicability of Federal, State, or local civil or criminal legislation or administrative regulations to their activities or possessory interests.

Categories of records in the system: Partial or complete records on individual cases sometimes including investigation reports, copies of contracts or permits, legal opinions, pleadings, transcripts, corre-

spondence, notices of appeals, decisions of forest officers, witnesses statements, and related documents.

Authority for maintenance of the system: 16 U.S.C. 471-583, 661-63, 668aa-bb, 683, 1001-09, 1131-32 and 1271-75; 42 U.S.C. 4321-74; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to Department of Justice and United States Attorneys to defend suits brought against the Government or its officers.

Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule regulation, or order issued pursuant thereto. Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees, witnesses, attorneys and investigative personnel.

USDA/OGC—59

System name: Minerals and Mining Claims—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana, Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons claiming mining or mineral rights on lands owned or claimed by the United States in behalf of USDA agencies; persons occupying or claiming an interest in such lands pursuant to such claims or under color thereof; persons having an interest in land in which the United States has reserved, or claims, minerals or mineral rights from the United States.

Categories of records in the system: Partial or complete records on individual cases, sometimes including notices of claim and related documents; copies of leases, contracts or permits; title evidence; investigation reports; pleadings; transcripts; legal opinions; correspondence; etc.

Authority for maintenance of the system: 16 U.S.C. 478, 482, 495, and 520; 30 U.S.C. 22-47, 141-42, 181, 351-59, 601-02, 611-15, 621, 701-08; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) Department of Justice or United States Attorney for institution of ejectment or similar actions or to bring or defend quiet title actions or other litigation pertaining to actual or claimed mineral rights, uses, or reservations; (2) Department of the Interior for performance of its functions under the foregoing-cited authority and related laws and for administrative determinations regarding the validity of mining claims; (3) Evaluation and preparation of proposed mineral contests. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees, witnesses, attorneys, Department of the Interior employees and Administrative Law Judges, and investigative personnel.

USDA/OGC—60

System name: Program Cooperators—Soil Conservation Service—USDA/OGC.

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisbury, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wsiconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons applying for or receiving financial aid, engineering services, advice or assist-

ance under Soil Conservation Service (SCS) - sponsored or financed programs; parties or potential parties to litigation or administrative hearings involving SCS-sponsored or financed programs; and parties contracting with soil conservation districts and similar organizations formed pursuant to state laws to pursue programs of watershed protection, flood prevention or soil conservation with the assistance of SCS.

Categories of records in the system: Partial or complete records, files on individual cases, sometimes including legal opinions, deeds, contracts, permits, title evidence, investigation reports, legal opinions, affidavits, pleadings, correspondence, transcripts and related documents.

Authority for maintenance of the system: 16 U.S.C. 590a-590f, 1001-1011; 5 U.S.C. 301; 44 U.S.C. 3101; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) the United States Attorney or Department of Justice for the investigation or prosecution of a violation of law, or for the enforcement or implementation of statutes, rules, regulations or orders issued pursuant thereto, or for the defense of suits brought against the Department of Agriculture, the Soil Conservation Service, cooperating local organization or officers thereof; (2) a court, magistrate or administrative tribunal, or to assigning or opposing counsel in a proceeding before any of the above; (3) title companies for title evidence; and (4) appropriate state and local officials for filing or recording. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained or, in some instances, cross-indexed by the names of other individuals mentioned in the files.

Safeguards: Records are kept in locked offices, with pending case files and investigation reports being kept in locked drawers.

Retention and disposal: Records are retained up to 5 years after case is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of acting giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: The individuals in the system, agency employees, State and local officials, attorneys, witnesses, title companies, credit bureaus, and investigative personnel.

USDA/OGC—61

System name: Rights-of-Way—Acquisition—Forest Service—USDA/OGC.

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals from whom the Forest Service purchases easements or rights-of-way for the forest roads and trails system.

Categories of records in the system: The system consists of options, title information and correspondence.

Authority for maintenance of the system: 16 U.S.C. 471.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is used by attorneys in preparing and evaluating acquisition documents and title to the land on which the right-of-way lies. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Information in this system comes primarily from abstract and title companies, individual sellers and agency personnel.

USDA/OGC—62

System name: Special Uses—Forest Service—USDA/OGC.

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge. Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon, San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Applicants for Forest Service special use permits, persons occupying land owned by the United States pursuant to such permits, and persons claiming under those persons.

Categories of records in the system: Partial or complete records on individual cases, sometimes including investigation reports, copies of contracts or permits, legal opinions, pleadings, transcripts, correspondence, notices of appeal, decisions of forest officers, witness statements, decisions of the Board of Forest Appeals or Agriculture Board of Contract Appeals, and related documents.

Authority for maintenance of the system: 16 U.S.C. 432, 497, 522, 551 and 580d; 43 U.S.C. 931c-d; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to United States Attorney or Department of Justice to defend suits brought against the Government or its officers. Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto. Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees, witnesses, attorneys and investigative personnel.

USDA/OGC—63

System name: Timber Sales—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons contracting to purchase timber from the Forest Service and persons which the Forest Service seeks to debar from such contracting; Unsuccessful bidders at such sales and persons protesting awards or proposed awards of same; Individuals who have breached a provision of a timber contract or who have otherwise engaged in conduct which raises a legal question concerning timber sale administration.

Categories of records in the system: Partial or complete records on individual cases, sometimes including legal opinions, copies of timber sale agreements, notices of appeal, investigation reports, pleadings, decisions of the Board of Forest Appeals or Agriculture Board of Contract Appeals, transcripts, correspondence, and related documents.

Authority for maintenance of the system: 16 U.S.C. 476-77, 491 and 616; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the Department of Justice or United States Attorney to defend suits brought against the Government or its officers. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto. Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, forest officers, agency employees, witnesses, attorneys, and investigative personnel.

USDA/OGC—64

System name: Title Claims and Occupancy and Use Cases—Forest Service—USDA/OGC

System location: Office of the General Counsel, Research and Operations Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who file claims against USDA arising out of Forest Service land acquisitions under the Treaty of Paris, the Weeks Law and the Uniform Relocation Assistance and Real Property Acquisition Policies Act; and cases arising out of the occupancy and use of properties administered by the Forest Service in the Caribbean National Forest.

Categories of records in the system: The system consists of complete files on individual claims, including correspondence, claim forms, deeds, land surveys, aerial photographs, disclaimers, abstract of title reports, maps, statements of witnesses, agency reports.

Authority for maintenance of the system: 30 Stat. at Large, page 1754, Revised Stat. 1911, section 6503-6610, 36 Stat. 961, as amended, 16 U.S.C. 515-517, 5231, 46 Stat. 1516, 43 Stat. 1133, as amended, 16 U.S.C. 555, 70 Stat. 1034, 7 U.S.C. 428(a), 78 Stat. 903, as amended, 16 U.S.C. 4601-9, 42 U.S.C. 4601(6), 4601(8), 4621, 4622, 4651, 4653, 16 U.S.C. 476, 16 U.S.C. 478, 16 U.S.C. 529-531, 16 U.S.C. 477, 16 U.S.C. 491, 16 U.S.C. 481, 38 Stat. 1101, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) internal; (2) Department of Justice and United States Attorneys for defense of suits that may be brought against the United States. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Information in this system comes primarily from claimants, witnesses, agency employees, and investigative personnel.

USDA/OGC—65

System name: Trespass and Claims Cases—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons who have or are suspected of having committed trespasses, other torts, and breaches of contract on USDA lands involving unauthorized cutting of timber, occupancy and use, grazing, or removal of minerals; the negligent or willful setting of fires, and fire suppression costs; breaches of timber sales agreements and similar actions.

Categories of records in the system: Partial or complete files on individual cases, sometimes including copies of contracts or permits, investigation reports, statements of witnesses, pleadings, transcripts, legal opinions, correspondence, and related documents.

Authority for maintenance of the system: 16 U.S.C. 471-583, 661-63, 668aa-bb, 683, 1001-09, 1131-32 and 1271-75; 42 U.S.C. 4321-74; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the Department of Justice and United States Attorney to defend suits brought against the Government or its officers. Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto. Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees, witnesses, attorneys, and investigative personnel.

USDA/OGC—66

System name: United States Magistrates—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States

Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Alleged and convicted violators of Forest Service petty offense regulations (36 CFR, Parts 211-95) and other minor offenses.

Categories of records in the system: Partial or complete records on individual cases, sometimes including copies of citations, pleadings, correspondence, and related documents.

Authority for maintenance of the system: 16 U.S.C. 472, 528-31 and 551; 18 U.S.C. 711 and 3401; 36 CFR, Parts 211-95; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to United States Attorneys for consideration of criminal action by the Government and to Magistrates for trial. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily Forest officers, witnesses, attorneys, State and local law enforcement officers, and investigative personnel.

USDA/OGC—67

System name: Water Cases—Forest Service—USDA/OGC

System location: Office of the General Counsel, Natural Resources Division, USDA, Washington, D.C. 20250. Offices of Regional Attorneys and Attorneys in Charge, Office of the General Counsel, USDA: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons claiming or believed to be claiming water rights, water use privileges, or rights-of-way to transport water (1) on land owned or leased by the United States and administered by USDA agencies, (2) in conflict with or from the same sources as water rights claimed or reserved by the United States for the benefit of USDA agencies, or (3) by reason of a permit from or agreement with USDA agencies.

Categories of records in the system: Partial or complete files on individual cases, sometimes including investigation reports, notices of claims, copies of contracts or permits, legal opinions, pleadings, transcripts, correspondence and related documents.

Authority for maintenance of the system: 16 U.S.C. 481, 524, 552a-552d, and 460 l-12; 33 U.S.C. 701b-1; 42 U.S.C. 1962-1962b; 43 U.S.C. 946-49 and 951.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to appropriate State agencies for administrative hearings and to the Department of Justice and United States Attorneys to defend suits brought against the Government or its officers.

Referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto. Referral to a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by the name of the individual on whom the file is primarily maintained.

Safeguards: All records are kept in locked offices. Investigation reports, personnel files, and other sensitive materials are also kept in locked drawers.

Retention and disposal: Records are retained up to five years after file is closed, then are destroyed unless retained for research value.

System manager(s) and address: Director, Natural Resources Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the applicable address specified in the foregoing.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager, or from the appropriate Regional Attorney or Attorney in Charge at the applicable address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Natural Resources Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of action giving rise to the claim, date claim was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Primarily the individuals in the system, agency employees, witnesses, State officials, attorneys, and investigative personnel.

USDA/OGC—68

System name: Court cases brought pursuant to the Packers and Stockyards Act, as amended, in which the Government is defendant, USDA/OGC.

System location: Office of the General Counsel, Packers and Stockyards Division, USDA, Washington, D.C.

Categories of individuals covered by the system: Individuals who bring suit against the Government or a Governmental official pursuant to, or as a consequence of the Department's administration of, the subject Act.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 181 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged

with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administritive tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Packers and Stockyards Division, OGC, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Packers and Stockyards Division, OGC, USDA, Washington, D.C., telephone 202-447-5935. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the name of action filed, Act filed under, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from witnesses, agency employees, and investigative personnel.

USDA/OGC—69

System name: Packers and Stockyards Act—Administrative Cases—USDA/OGC

System location: Office of the General Counsel, Packers and Stockyards Division, USDA, Washington, D.C., and Offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Juneau, Alaska; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; St. Paul, Minnesota; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 181 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, or rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office or file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Packers and Stockyards Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the address specified above.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—70

System name: Packers and Stockyards Act—Civil and Criminal Cases—USDA/OGC

System location: Office of the General Counsel, Packers and Stockyards Division, USDA, Washington, D.C., and Offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Juneau, Alaska; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; St. Paul, Minnesota; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who are regulated by the subject Act and against whom the Department recommends that an enforcement action be brought by the Government.

Categories of records in the system: The system consists of investigatory material which may include intradepartmental recommendations, and interdepartmental recommendations pertaining to an alleged violation of the subject Act.

Authority for maintenance of the system: 7 U.S.C. 181 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, or rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) Presentation or disclosure to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system as evidence in a proceeding, or which is sought in the course of discovery including disclosure to opposing counsel in the course of settlement negotiations; (3) Presentation, as needed, in the course of presenting evidence, to the appropriate Government

officials charged with the responsibility of defending the Government before a court, magistrate or administrative tribunal; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual.

Safeguards: Records are kept in a locked office of file cabinet.

Retention and disposal: Records are maintained until file is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Packers and Stockyards Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney in Charge at the address specified above.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) because it consists of investigatory material compiled for law enforcement purposes. See 7 CFR 1.123. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USCA/OGC—71

System name: Civil Rights, administrative and judicial actions—USDA/OGC

System location: Office of the General Counsel, Research and Operations Division, USDA, Washington, D.C., 20250, and Offices of Regional Attorneys and Attorneys-in-charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Temple, Texas; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who have brought suit or filed administrative complaints against USDA or USDA employees or recipients of USDA assistance alleging discrimination on the basis of race, color, or national origin by USDA, its employees or recipients of assistance from USDA.

Categories of records in the system: The system consists of complete files on individual suits or administrative actions, including investigation reports, administrative determinations, statements of witnesses, and agency reports.

Authority for maintenance of the system: 42 U.S.C. 2000(d); 5 U.S.C. 301; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) Department of Justice for defense or prosecution of suits brought involving USDA, an officer or employee of USDA, or the United States; (2) the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (3) a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (4) the Civil Rights Commission in response to its request for information; (5) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional ofice made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until case is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records center in accordance with such directives.

System manager(s) and address: Director, Research and Operations Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address specified above.

Notification procedure: Any individual may request information regarding this system or records, or information as to whether the system contains records pertaining to him from the Director, Research and Operations Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Research and Operations Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved.

Record access procedures: any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from litigants, witnesses, agency employees, and investigative personnel.

USDA/OGC—72

System name: Claims By and Against USDA, USDA/OGC

System location: Office of the General Counsel, Research and Operations Division, USDA, Washington, D.C. 20250, and Offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Individuals who file or may file (1) claims against USDA pursuant to the Federal Tort Claims Act and the Military Personnel and Civilian Employees Claims Act, (2) claims against the Forest Service pursuant to 16 USC 502, 556c, or 574, and (3) tort suits against the United States or its officers or instrumentalities concerning USDA activities; individuals against whom the Department has a monetary claim arising out of USDA-provided services, their employment by USDA, or damages to USDA property.

Categories of records in the system: The system consists of files on individual claims, including claim forms, police reports, investigation and accident reports, statements of witnesses, agency reports, correspondence, legal opinions, pleadings, transcripts, and related documents, and other information pertaining to matters referred by USDA agencies requesting legal assistance in settlement of claims against individuals arising out of USDA-provided services, their employment by USDA, or damages to USDA property.

Authority for maintenance of the system: 16 U.S.C. 502, 556c, 574; 28 U.S.C. 1345, 1346, 2671-2680; 31 U.S.C. 240-243; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) Department of Justice for concurrence of allowance of tort claims over 25,000, for defense of tort suits brought against the United States or its officers, and for institution of suit for recovery of claims by USDA; (2) Department of Labor in cases involving Job Corpamen or arising under the Federal Employees Compensation Act (5 USC Chapter 81); (3) insurance companies for handling of claims; (4) the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of

law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (5) a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (6) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual. In some instances, they are also cross-indexed by the names of other individuals mentioned in the files.

Safeguards: Records are kept in a locked office. Some sensitive materials are kept in locked drawers.

Retention and disposal: Records are maintained until case is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records center in accordance with such directives.

System manager(s) and address: Director, Research and Operations division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address specified above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Research and Operations Division, OGC, USDA, Washington, D.C. 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Research and Operations Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from claimants, witnesses, agency employees, and investigative personnel.

USDA/OGC—73

System name: Contract Cases, USDA/OGC.

System location: Office of the General Counsel, Research and Operations Division, USDA, Washington, D.C., 20250, and Offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma; Temple, Texas.

Addresses of each filed office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Persons who submit offers or bids to solicitations of agencies of USDA or who contract with agencies of USDA.

Categories of records in the system: The system consists of partial and/or complete files relating to legal issues that arise out of the procurement activities of USDA; it includes copies of contracts, contract claims, investigation reports, contracting officer's decisions, correspondence, and pleadings, transcripts, and related documents in contract appeal cases before the USDA Board of Contract Appeals.

Authority for maintenance of the system: 41 U.S.C. 251 et seq; 7 CFR 2.31; 41 CFR Chapters 1 and 4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) a court, magistrate, or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discorver; (3) the General Accounting Office for determination of bid protests, and questions on information, rescission, mistake in bid, and remission of liquidated damages; (4) Department of Justice for defense of suits filed against Government or for institution of suit for recovery of claims arising under the contract; (5) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual bidder, offeror, or contractor.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until case is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records center in accordance with such directives.

System manager(s) and address: Director, Research and Operations Division, OGC, USDA, Washington, D.C., or the appropriate Regional Attorney or Attorney-in-Charge at the address specified above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Research and Operations Division, OGC, USDA, Washington, D.C., or the appropriate Regional Attorney or Attorney-in-charge at the address listed above. If the specific location of the record is not known, the individual should address his request to the director, Research and Operations Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from bidders, offerors, contractors, witnesses, agency employees, and investigation personnel.

USDA/OGC—74

System name: Patents and Inventions of Department Employees, USDA/OGC.

System location: Office of the General Counsel, Research and Operations Division, USDA, Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who make inventions pursuant to their employment by USDA.

Categories of records in the system: The system consists of files on descriptions of the individual's invention, and all papers and forms in connection with matters pending before the U.S. Patent and Trademark office.

Authority for maintenance of the system: 5 U.S.C. 301; 35 U.S.C. 1-293; 37 CFR 100-100.11; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Copies of all papers and forms sent to the U.S. Patent and Trademark Office are simultaneously placed in said files. Referral to the Department of Justice in the event of appeal from action by the Patent and Trademark Office. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of the individual inventor.

Safeguards: Records are maintained in Government building with security guards.

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Retention and disposal: Records are maintained for 20 years.

System manager(s) and address: Director, Research and Operations Division, OGC, USDA, Washington, D.C., 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager. A request for information pertaining to an individual should contain: Name and address of the inventor, and other particulars (i.e., the date of the papers filed with the U.S. Patent and Trademark Office, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the System Manager. This request should contain the information specified in the preceding paragraph.

Contesting record procedures: Same are Record Access Procedures.

Record source categories: Information in this system comes primarily from agency employee-inventors, agency patent personnel and employees of the U.S. Patent and Trademark Office.

USDA/OGC—75

System name: Personnel Irregularities, USDA/OGC

System location: Office of the General Counsel, Research and Operations Division, USDA, Washington, D.C. 20250, and offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Employees and former employees of USDA, members of local and county committees established pursuant to 16 U.S.C. 590h(b), employees of such county committees, and extension service agents performing duty pursuant to 7 U.S.C. 341-349.

Categories of records in the system: The system consists of investigation reports and other relevant documents pertaining to violations of criminal statutes.

Authority for maintenance of the system: Titles 5, 18 U.S.C.; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (2) a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, or any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (3) Department of Justice for institution of suits to recover claims by USDA arising out of irregularities; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual employee.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until case is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records centers in accordance with such directives.

System manager(s) and address: Director, Research and Operations Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address specified above.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4) (G), (H), and (I) and (f) because it consists of investigatory material compiled for law enforcement purposes. Individual access to these files could impair investigations and alert subjects of investigations that their activities are being scrutinized, and thus allow them time to take measures to prevent detection of illegal action or escape prosecution. Disclosure of investigative techniques and procedures and the existence and identity of confidential sources of information would hamper law enforcement activity.

USDA/OGC—76

System name: Personnel Suits, USDA/OGC

System location: Office of the General Counsel, Research and Operations Division, USDA, Washington, D.C. 20250, and offices of Regional Attorneys and Attorneys-in-Charge, OGC, USDA, at the following locations: Albuquerque, New Mexico; Atlanta, Georgia; Chicago, Illinois; Denver, Colorado; Harrisburg, Pennsylvania; Little Rock, Arkansas; Milwaukee, Wisconsin; Missoula, Montana; Ogden, Utah; Portland, Oregon; San Francisco, California; Santurce, Puerto Rico; Shawnee Mission, Kansas; Stillwater, Oklahoma; Temple, Texas.

Addresses of each field office are listed in the telephone directories of the respective cities listed above under the heading "United States Government, Department of Agriculture, Office of the General Counsel."

Categories of individuals covered by the system: Employees and former employees of USDA, and applicants for employment with USDA who institute suits against USDA, an officer or employee thereof, or the United States, alleging a wrongful personnel action taken against them.

Categories of records in the system: The system consists of complete files on individual suits, including personnel records, investigation reports, administrative determinations, statements of witnesses, and agency reports.

Authority for maintenance of the system: 5 U.S.C. 301, 5596, 7501, 7511-7512; 42 U.S.C. 2000e-16; 7 CFR 2.31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) Department of Justice for defense of personnel suits brought against USDA, an officer or employee of USDA, or the United States; (2) the appropriate agency, whether Federal, State, local or foreign charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (3) a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery; (4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above.

Retrievability: Records are indexed by name of individual litigant.

Safeguards: Records are kept in a locked office.

Retention and disposal: Records are maintained until case is closed or no longer needed or as otherwise provided in agency directives and disposed of or sent to appropriate records center in accordance with such directives.

System manager(s) and address: Director, Research and Operations Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address specified above.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, Research and Operations Division, OGC, USDA, Washington, D.C., 20250, or the appropriate Regional Attorney or Attorney-in-Charge at the address listed above. If the specific location of the record is not known, the individual should address his request to the Director, Research and Operations Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as Record Access Procedures.

Record source categories: Information in this system comes primarily from litigants, witnesses, agency employees, and investigative personnel.

USDA/OIG-1

System name: Employee Records, USDA/OIG

System location: In the Headquarters Office in the Agriculture Administration Building, 14th and Independence Avenue, S.W., Washington, D.C. 20250, and in the following U.S. Department of Agriculture, Office of Inspector General, Regional Offices and suboffices:

OIG Regional Offices

26 Federal Plaza, Room 1707, New York, New York 10007.
8930 Ward Parkway, P.O. Box 205, Kansas City, Missouri 64141.
555 Battery Street, Room 322, San Francisco, California, 94111.
101 South Main, Room 324, Temple, Texas 76501.
422 Federal Center Building, Hyattsville, Maryland 20782.
1 North Wacker Drive, Room 800, Chicago, Illinois 60606.
1447 Peachtree Street, N.W., Room 901, Atlanta, Georgia 30309.

OIG/Audit Suboffices

Federal Building, Harrisburg, Pennsylvania 17108.
Federal Building, Marlboro, Massachusetts 01752.
Federal Building, Syracuse, New York 13260.
Federal Office Building, Hato Rey, Puerto Rico 00917.
Federal Building, Little Rock, Arkansas 72201.
P.O. Box 29383, New Orleans, Louisiana 70189.
P.O. Box 16393, Jackson, Mississippi 39206.
P.O. Box 15067, Nashville, Tennessee 37215.
310 New Bern Avenue, Raleigh, North Carolina 27601.
333 Waller Avenue, Lexington, Kentucky 40504.
Box 14153 Main Post Office, St. Louis, Missouri 63178.
167 Federal Building, Des Moines, Iowa 50309.
276 Federal Building, Lincoln, Nebraska 68508.
571 Federal Building, St. Paul, Minnesota 55101.
200 North High Street, Columbia, Ohio 43215.
5610 Crawfordsville Road, Indianapolis, Indiana 46224.
2490 West 26th Avenue, Denver, Colorado 80211.
1711 Federal Building, Portland, Oregon 97204.
P.O. Box 1363, Huron, South Dakota 57350.
135 South State Street, Salt Lake City, Utah 84111.
24,000 Avila Road, Laguna Niguel, California 92677.

OIG/Investigation Suboffices

U.S. Court House, Hato Rey, Puerto Rico 00918.
600 Dekalb Pike, King of Prussia, Pennsylvania 19406.
310 New Bern Avenue, Raleigh, North Carolina 27611.
4004 Hillsboro Road, Nashville, Tennessee 37215.
5305 Executive Place, Jackson, Mississippi 39206.
200 North High Street, Columbia, Ohio 43215.
2490 West 26th Avenue, Denver, Colorado 80211.
P.O. Box 1363, Huron, South Dakota 57350.
100 Centennial Mall North, Lincoln, Nebraska 68508.
24,000 Avila road, Laguna Niguel, California 92677.
511 Northwest Broadway, Portland, Oregon 97209.
522 N. Central Avenue, Phoenix, Arizona 85004.

Categories of individuals covered by the system: OIG temporary and permanent employees, former employees of OIG and predecessor offices, and applicants for employment.

Categories of records in the system: These records show personnel management and work-related information, including position, title, grade, pay rate, pay, temporary and permanent address, phone number, performance evaluations, promotions, travel information, accident reports and related information, activity reports, participation in savings and contribution programs, availability for employment, for assignment, or for transfer, qualifications, awards, hours worked, issuance of credentials, passports, and other indentification, assignment and accountability of property and other things of value, parking space assignments, training and development, and special assignments.

Authority for maintenance of the system: Pub. L. 95-452, 5 U.S.C. 301, 7 CFR 2.33.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To other agencies in the Department and Executive Branch agencies, such as the Civil Service Commission, as necessary, for proper personnel actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on computer and in file folders, notebooks, and card file boxes.

Retrievability: By name of individual employee.

Safeguards: Available on official need-to-know basis. Kept in locked offices after office hours.

Retention and disposal:
Records are retained as long as needed and then discarded. Personal information that might be considered derogatory or embarrassing is burned when no longer needed.

System manager(s) and address: Director, Personnel Management Staff, OIG, U.S. Department of Agriculture, Washington, D.C. 20250.

Notification procedure: Inquiries should be addressed to Director, Policy, Liaison and Information Staff, OIG, U.S. Department of Agriculture, Washington, D.C. 20250.

Record access procedures: To gain access to information in the system, send request to Director, Policy, Liaison and Information Staff, OIG, USDA, Washington, D.C. 20250.

Contesting record procedures: To contest information in this system, send request to Director, Policy, Liaison and Information Staff, OIG, USDA, Washington, D.C. 20250.

Record source categories: The primary information is furnished by the individual employee. Additional information is provided by supervisors, coworkers, references, and others.

USDA/OIG-2

System name: Intelligence Records, USDA/OIG.

System location: In the Headquarters Office in the Agriculture Administration Building, 14th and Independence Avenue, S.W., Washington, D.C. 20250, and in the OIG offices listed in the system of records designated USDA/OIG-1.

Categories of individuals covered by the system: Suspects and unpaid informants.

Categories of records in the system: Names, occupations, other information about suspects and allegations against them; and types of information previously furnished by or to be expected from informants.

Authority for maintenance of the system: Pub. L. 95-452, 5 U.S.C. 301, 7 CFR 2.33.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses for law enforcement purposes will include referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation, or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored on sheets of paper and index cards.

Retrievability: Retrievable by name of individual subject.

Safeguards: Available on an official need-to-know basis and kept in locked storage when not in use.

Retention and disposal: Kept indefinitely and continually updated; out-of-date material is burned.

System manager(s) and address: Director, Security and Special Investigations Division, Office of the Inspector General, Washington, D.C. 20250. Inquiries and requests should be addressed to: Director, Policy, Liaison and Information Staff, USDA, OIG, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted from the provisions of sections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I) and (f) pursuant to 5 U.S.C. 552a(k)(2) as investigatory material compiled for law enforcement purposes. This exemption is contained in 7 CFR 1.123.

USDA/OIG-3

System name: Investigative Files and Subject/Title Index, USDA/OIG.

System location: In the Headquarters Office in the Agriculture Administration Building, 14th and Independence Avenue, S.W.,

Washington, D.C. 20250, and in the OIG Regional and Investigation Suboffices listed in the system of records designated USDA/OIG–1.

Except for inadvertent errors, all entries in regional office indexes are duplicated in the Headquarters index. Thus the Headquarters index is the only complete index in OIG. The Headquarters files also contain a copy of every investigative report, but not the correspondence in all cases. Older investigative files may be stored in Federal Records Centers or on microfiche. Therefore, delays in retrieving this material can be expected.

Categories of individuals covered by the system: The individual names in the OIG index fall into one or more of the following categories:

Subjects. These are applicants for OIG employment or individuals against whom allegations of wrongdoing have been made. In some instances, these individuals have been the subjects of investigations conducted to establish whether allegations were true. In other instances, the allegations were deemed too frivolous or indefinite to warrant inquiry.

Principals. These are individuals who are not named subjects of investigative inquiries, but may be responsible for violations. For example, the president of a firm alleged to have violated laws or regulations would likely be individually listed in the OIG index.

Complainants. These are individuals who allege wrongdoing, mismanagement, or unfair treatment relating to USDA employees and/or programs.

Others. These are all other individuals closely connected with a matter of investigative interest or whose names have been checked through the index to determine whether they were of record. Among these names are those of people who are connected with a matter only in that they have shown unusual interest in having allegations investigated or in learning the results of investigation. Also included in the index are the names of persons on the Department of Justice crime list.

Categories of records in the system: The OIG Subject/Title Index and Investigative Files consist of:

1. Index cards and/or a microfiche index filed alphabetically by the names of individuals, organizations, and firms with a separate card or line items for each; dates of entries made into the index or dates of materials containing information about the named subjects; and identification of the OIG file or files containing information on that subject.

2. Files containing bound sheets of paper or microfiche of such sheets from investigative and other reports, correspondence, and informal notes and notations concerning (a) one investigative matter or (b) a number of incidents of the same sort of alleged violation or irregularity.

If such information was available when an index card or line item was made, the card or microfiche concerning an individual will include the individual's address, date of birth, and Social Security number.

3. Where investigation is being or will be conducted, but has not been completed, various case management records, investigator's notes, statements of witnesses, and copies of records. These are contained on index slips or cards and sheets of paper located in an OIG office or in the possession of the OIG investigator. Certain management records are retained after the investigative report is released as a means of following action taken on the basis of the OIG investigative report.

Authority for maintenance of the system: Pub. L. 95–452, 5 U.S.C. 301, 7 CFR 2.33.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine use for law enforcement purposes will include referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility for investigating or prosecuting a violation of law or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, or any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The OIG Subject/Title Index consists of 3 inch by 5 inch cards or microfiche line items stored in steel cabinets. The investigative files are stored in steel lektriever cabinets, on microfiche sheets, or in Federal Records Centers.

Retrievability: The subject cards or line items are arranged alphabetically, and each card or line item identifies one or more OIG investigative case files or administrative files arranged numerically by file number. Information in investigative or administrative files concerning individuals not indexed is considered irretrievable.

Safeguards: These records are available within USDA and to others in the Executive Branch only upon proper identification and on a need-to-know basis. These records are kept in limited-access areas during duty hours and in locked offices at all other times.

Retention and disposal: The cards or line items are kept indefinitely and investigative case files are maintained for 15 years. However, certain investigative case files of unusual significance are kept indefinitely. Administrative files are kept for five years.

System manager(s) and address: Director, Management and Budget Staff, Office of the Inspector General, U.S. Department of Agriculture, Washington, D.C. 20250.

Record access procedures: To request access to information in this system, write to Director, Policy, Liaison and Information Staff, Office of Inspector General, U.S. Department of Agriculture, Washington, D.C. 20250.

Contesting record procedures: To contest information in this system, send request to Director, Policy, Liaison and Information Staff, Office of Inspector General, U.S. Department of Agriculture, Washington, D.C. 20250.

Systems exempted from certain provisions of the act: This system has been exempted from the provisions of sections (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f) pursuant to 5 U.S.C. 552a (k)(2) and (k)(5) as investigatory material compiled for law enforcement purposes or compiled solely for determining suitability, eligibility or qualifications for Federal civilian employment. This exemption is contained in 7 CFR 1.123.

USDA/OIG–4

System name: Liaison Records, USDA/OIG

System location: Headquarters Offices in Agriculture buildings at 14th and Independence Avenue, S.W., Washington, D.C. 20250, and in the OIG offices listed in the system of records designated USDA/OIG–1.

Categories of individuals covered by the system: Employees or officials of Federal, State, and local governmental agencies.

Categories of records in the system: Such information as name, title, address, phone number, and type of assistance previously given or interest previously shown or expected.

Authority for maintenance of the system: Pub. L. 95–452, 5 U.S.C. 301, 7 CFR 2.33.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosed to other investigative agencies (e.g., FBI, Secret Service, IRS) to coordinate investigative efforts or for those agencies to use in their independent investigations and to facilitate referral of OIG investigative information to other Executive Agencies that have an official interest.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Index cards and sheets of paper.

Retrievability: By name of individual or by name of agency.

Safeguards: Information is usually obtained from public records or previous contacts and is generally available to OIG employees and others on request. Records are in the custody of OIG employees during working hours and in locked offices at other times.

Retention and disposal: Information is kept indefinitely and disposed of when updated. Out-of-date information is discarded.

System manager(s) and address: Directors of the offices indicated in "System location."

Notification procedure: Inquiries and requests should be addressed to Director, Policy, Liaison and Information Staff, Office of the Inspector General, U.S. Department of Agriculture, Washington, D.C. 20250.

Record access procedures: To gain access to information in this system, send request to Director, Policy, Liaison and Information Staff, OIG, U.S. Department of Agriculture, Washington, D.C. 20250.

Contesting record procedures: To contest information in this system, send request to Director, Policy, Liaison and Information Staff, OIG, U.S. Department of Agriculture, Washington, D.C. 20250.

Record source categories: Public documents and directories and previous contacts with individuals listed.

USDA/OIG–5

System name: Management Information and Data Analysis System, USDA/OIG

System location: Computer files are maintained on the Computer Sciences Infonet System with main offices at 650 North Sepulveda, El Segundo, California. Source documents and printouts are kept in OIG Headquarters, U.S. Department of Agriculture, 14th and Independence Avenue, S.W., Washington, D.C. 20250 and in the OIG regional offices listed in the system of records designated as USDA/OIG–1 (with the exception of the New York Regional Office).

Categories of individuals covered by the system: OIG professional audit employees.

Categories of records in the system: The Management Information and Data Analysis System provides audit management officials with a wide range of information on audit operations, including job performance of OIG professional audit personnel in grade GS–13 and below. The system identifies individual audit assignments of employees and provides information on their use of direct and indirect time; significant dates relating to each audit such as starting date, exit conference date, and report release date; the number and significance of audit findings and the identity of all the professionals who participated in the assignment.

Authority for maintenance of the system: Pub.L. 95–452, 5 U.S.C. 301; 7 CFR 2.81.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provided upon request to the General Accounting Office for reviewing OIG audit operations. Disclosure may also be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer discs and/or magnetic tape.

Retrievability: Information in the system can be retrieved by OIG Headquarters and regions. Information can be retrieved by audit report number, employee Social Security number, or geographic location.

Safeguards: Normal computer security is maintained over access to discs and magnetic tapes. Printouts are available within USDA as necessary and are kept under lock and key when not in use. Source documents are kept in file cabinets in the offices listed above.

Retention and disposal: Discs and/or magnetic tapes are cleared, retired, or destroyed, when no longer useful, in accordance with General Services Administration and USDA retirement and/or destruction schedules.

System manager(s) and address: Assistant Inspector General for Audits, Office of the Inspector General, U.S. Department of Agriculture, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him, from the Director, Policy, Liaison and Information Staff, USDA-OIG, Washington, D.C. 20250. A request for information pertaining to an individual should contain: Name, address, and particular information requested.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the Director, Policy, Liaison and Information Staff, OIG, U.S. Department of Agriculture, Washington, D.C. 20250

Contesting record procedures: Same as access procedures described above.

Record source categories: Information in the system comes entirely from OIG audit employees.

USDA/OIG–6

System name: Audit Information System, USDA/OIG

System location: Records included in this system may be located at audit sites throughout the United States or at any of the Departmental Computer Centers. The Departmental Computer Centers are: (1) Washington Computer Center, 12th and Independence Avenue, S.W., Washington, D.C. 20250; (2) New Orleans Computer Center, P.O. Box 60900, New Orleans, Louisiana 70160; (3) Kansas City Computer Center, P.O. Box 205, Kansas City, Missouri 64141; (4) St. Louis Computer Center, 1520 Market Street, Room 3441, St. Louis, Missouri 63103; (5) Fort Collins Computer Center, 3825 East Mulberry Street, Fort Collins, Colorado 80521.

Categories of individuals covered by the system: This system employs temporary data sets, computer printouts, and other audit records obtained from USDA agencies, non-Federal sources, and Federal agencies other than USDA. Individuals covered by these records are participants in programs administered and/or funded by the Department of Agriculture; employees of USDA and other Federal, State, county, and municipal agencies; and officials and employees of contractors, grantees, and cooperators that conduct business related to USDA programs.

Categories of records in the system: The system may contain, for short periods of time, various categories of records relating to administration of, or individual participation in, USDA programs. For example, the categories of records may relate to the Department's farm, food, loan and research programs and to payroll records of USDA or other governmental employees.

Authority for maintenance of the system: Pub. L. 95–452, 5 U.S.C. 301, 7 CFR 2.33.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are routinely used for analysis during the course of Office of Inspector General (OIG) audits. To facilitate this analysis, USDA, other Federal, State, or other governmental computer tapes containing program participation or employment information may be matched against themselves or each other to find duplications that indicate possible improper or illegal participation in USDA programs. Matching may be conducted by OIG, other USDA agencies, other Federal agencies, and/or State, county, or municipal agencies. The computer printouts of duplicates may be furnished to OIG auditors and investigators, the non-Federal entity responsible for operating the program, other Executive Branch audit agencies, the General Accounting Office, the Department of Justice, other law enforcement agencies, and the Congress.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information is stored electronically on computer direct access storage devices or magnetic tape and in computer printouts and other audit records.

Retrievability: Electronically stored information may be retrieved using standard audit software analysis and retrieval packages and is limited only by the data elements maintained in the data set. This information may be transmitted and received using standard teleprocessing procedures. Data elements may include such information as an individual's name, address, social security numbers, employee identification, case or farm number, and specific information about the individual's program participation or employment. Information located in computer printouts and other audit records may be retrieved manually while audits are in process. After an audit is completed, information about individuals can only be retrieved by first identifying the audit involved (by type, location and time conducted) and then retrieving the information from audit work materials by mechanical or electronic search. If individual participation was investigated, personal privacy information about that individual may be retrievable, by name, from system USDA/OIG–3, described above.

Safeguards: Normal computer security is maintained over access to electronically encoded data. Computer printouts and other audit records are protected in accordance with the sensitivity of data contained therein.

Retention and disposal: Electronically encoded data is seldom retained for more than six months. It is then destroyed either by degaussing or overwriting the computer media. Computer printouts and manually prepared audit records may be incorporated into audit files where they are retrievable only by audit number or report title. Audit files are retained in accordance with General Services Administration retirement and/or destruction schedules. Computer printouts not incorporated into audit files are destroyed.

System manager(s) and address: The system managers are the USDA Regional Inspectors General for Audits in whose geographical areas the audit sites and Departmental Computer Centers are located. These are as follows: (1) Regional Inspector General for Audits, Northeast Region, OIG, USDA, Room 422, Federal Building, Hyattsville, Maryland 20782 (Washington Computer Center); (2) Regional Inspector General for Audits, Southeast Region, OIG, USDA, 1447 Peachtree Street, N.E., Room 900, Atlanta, Georgia 30309; (3) Regional Inspector General for Audits, Midwest Region, OIG, USDA, 1 North Wacker Drive, Chicago, Illinois 60606; (4) Regional Inspector General for Audits, Southwest Region, OIG, USDA, Federal Office Building—Room 324, 101 South Main Street, Temple, Texas 76501 (New Orleans Computer Center); (5) Regional Inspector General for Audits, Great Plains Region, OIG, USDA, 8930 Ward Parkway, P.O. Box 205, Kansas City, Missouri 64141 (Kansas City, Fort Collins, and St. Louis Computer Centers); (6) Regional Inspector General for Audits, Western Region, OIG, USDA, Room 522 Customs House, 555 Battery Street, San Francisco, California 94111.

Notification procedure: Any individual may request information contained in this system of records or information as to whether the system contains records pertaining to that individual by contacting the Director, Policy, Liaison and Information Staff, OIG, USDA, Washington, D.C. 20250. The individual is reminded that this system of records is temporary and usually is accessible only while an audit of a particular program or activity is in process. The period of accessibility normally ranges from one month to approximately six months, depending on the type of audit and the use made of the information. Any request for information pertaining to an individual should contain that person's name, address, the USDA program the individual is participating in, any pertinent identification number such as a case number, and the particular information requested. Proof of identity and/or authorization to access will be required.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to that person by submitting a written request to the Director, Policy, Liaison and Information Staff, OIG, U.S. Department of Agriculture, Washington, D.C. 20250.

Contesting record procedures: These inquiries also should be sent to the Director, Policy, Liaison and Information Staff, OIG, U.S. Department of Agriculture, Washington, D.C. 20250.

Record source categories: Information contained in this system of records is obtained mainly from USDA agencies and State and local governments that administer USDA programs on a cooperative basis and may be obtained from other grantees and program participants and other Federal agencies.

Information generally relates to a USDA program or activity which is being audited. Upon conclusion of the audit, the information is either destroyed, returned to the originator, or stored in an audit file from which information about individuals cannot be retrieved without manual and/or electronic search.

USDA/O&F—1

System name: Administrative Billings and Collections, USDA/O&F

System location: USDA, Office of Operations and Finance, National Finance Center, New Orleans, Louisiana 70160

Categories of individuals covered by the system: Individuals (USDA, former USDA or non-USDA employees) who are indebted to the Department for any reason. Some examples of indebtedness are: lost or damaged property, salary overpayments, outstanding travel advances, violations of transfer-of-station agreements, and misuse of Federal facilities.

Categories of records in the system: The automated system establishes a master file containing debtors name, address, social security number, or assigned vendor number, amount of indebtedness, amount of current collection and amount of total billing. After a short while these records are transferred to a history file for inquiry use.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.75

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Forwarded to another agency when a USDA employee accepts employment with such agency; (2) Referred to the General Accounting Office for review in cases involving possible fraud. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on magnetic tape files and in file folders at the National Finance Center addressed above.

Retrievability: Records are indexed by social security number or equivalent identifying number in case of non-USDA employees.

Safeguards: File folders are kept in locked cabinets. Magnetic tape files are in locked computer room and library which can be accessed by authorized personnel only.

Retention and disposal: Master history magnetic tape files are retained indefinitely. Manual records are transferred for storage and disposition by the Federal Records Center in accordance with General Services Administration regulations.

System manager(s) and address: Director, National Finance Center, Office of Operations and Finance, USDA, New Orleans, Louisiana 70160

Notification procedure: Any individual may request information regarding this sytem of records, or information as to whether the system contains records pertaining to him from the System Manager. A request for information pertaining to an individual should be in writing and should contain: name, address, social security number and particulars involved (i.e., dates of claims, copies of correspondence, etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the System Manager.

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the system which pertains to him, by submitting a written request to the System Manager.

Record source categories: Information in this system comes primarily from USDA employees, former USDA employees, non-USDA employees, agency claimants, and USDA or other investigation personnel.

USDA/O&F—2

System name: Employee Travel and Transportation System, USDA/O&F

System location: USDA, Office of Operations and Finance, National Finance Center, New Orleans, Louisiana 70160

Categories of individuals covered by the system: Individuals who have funds advanced to them for official travel use, individuals who have U.S. Government Transportation Requests assigned to them for use in purchasing tickets to be used for official travel and individuals who perform official USDA Travel and are reimbursed with Government Funds are included in this system.

Categories of records in the system: This system consists of complete files on advances to and repayments by individuals, assignment and use of Government Transportation Requests by individuals, and payments for official travel to individuals.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.75

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on computer tapes and disks at the National Finance Center addressed above.

Retrievability: Records are indexed by Social Security Number and by name of individual.

Safeguards: Limited access by authorized personnel with the information needed to gain access into the system.

Retention and disposal: Master history magnetic tapes are retained indefinitely. Manual records are transferred for storage and disposition by the Federal Records Center in accordance with General Services Administration regulations.

System manager(s) and address: Director, National Finance Center, Office of Operations and Finance, USDA, P.O. Box 60,000, New Orleans, Louisiana 70160

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the System Manager.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him, by submitting a written request to the System Manager.

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the system which pertains to him, by submitting a written request to the System Manager.

Record source categories: Information in this system comes primarily from individuals that request advances prior to travel, submit Travel Vouchers for reimbursement after travel is performed or request Government Transportation Requests for use in purchasing passenger tickets. Some of the information is obtained from the payroll and personnel systems maintained by the National Finance Center.

USDA/O&F—3

System name: Imprest Fund Payment System, USDA/O&F

System location: USDA, Office of Operations and Finance, National Finance Center, New Orleans, Louisiana 70160

Categories of individuals covered by the system: All USDA imprest cashiers and alternates and USDA employees designated as chiefs of field party.

Categories of records in the system: The automated system establishes master files containing the name, social security number, employment address and telephone, and amount of advance for each cashier, alternate cashier and chief of field party. It also includes records of disbursements, reimbursements, accountability reports and verification and audit of funds.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.75

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to the Treasury Disbursing Office, Kansas City, Kansas, for approval and/or payment and internal. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on microfilm cartridges, magnetic disks, magnetic tape, microfiche, and to a limited degree, in file folders.

Retrievability: Records are indexed primarily by social security number of the individual cashier, alternate cashier, or chief of field party; and secondarily by imprest fund number.

Safeguards: Records are kept in a locked room, to be accessed by authorized personnel only.

Retention and disposal: Records will be retained indefinitely.

System manager(s) and address: Director, National Finance Center, Office of Operations and Finance, USDA, P.O. Box 60,000, New Orleans, Louisiana 70160

Notification procedure: Any individual may request information regarding this system of records, or ascertain whether the system contains records pertaining to him from the System Manager. The request should be in writing and should contain: name, address, social security number and particulars involved (i.e., date and type of document in question, etc.).

Record access procedures: Any individual may obtain information on procedures for gaining access to a record in the system that pertains to him by submitting a written request to the System Manager.

Contesting record procedures: Any individual may obtain information on procedures for contesting a record in the system that pertains to him by submitting a written request to the System Manager.

Record source categories: Information in this system is derived from documents submitted by USDA agencies and the Treasury Disbursing Office, Kansas City, Kansas.

USDA/O&F—4

System name: Uniform Allowance System, USDA/O&F.

System location: USDA, Office of Operations and Finance, National Finance Center, New Orleans, Louisiana.

Categories of individuals covered by the system: All USDA employees entitled to and receiving allowances for uniforms required in their work.

Categories of records in the system: This system consists of complete files on advances, accruals and payments, to individuals within the Department, for uniform allowances.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.75.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records and maintained on computer tapes and disks at the National Finance Center addressed above.

Retrievability: Records are indexed by Social Security Number and by name of individual.

Safeguards: Limited access by authorized personnel and passwords on the Data Base.

Retention and disposal: Master history magnetic tapes are retained indefinitely. Manual records are transferred for storage and disposition by the Federal Records Center in accordance with General Services Administration regulations.

System manager(s) and address: Director, National Finance Center, Office of Operations and Finance, USDA, New Orleans, Louisiana 70160.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Director, National Finance Center, Office of Operations and Finance, USDA, P.O. Box 60,000, New Orleans, Louisiana 70160.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a request to the System Manager.

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the system which pertains to him by submitting a request to the System Manager.

Record source categories: Information in this system comes primarily from individuals that request payments of uniform allowances.

USDA/O&F—5

System name: Debarred, Ineligible and Suspended Bidders, USDA/O&F

System location: Office of Operations and Finance, Administrative Services, Procurement Division, USDA, Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who, as principles or responsible employees of companies contracting with USDA or other Federal agencies, have committed or are suspected of having committed illegal or irresponsible acts in connection with the performance of those contracts.

Categories of records in the system: The system consists of files on companies and their principle owners, officers or responsible employees. The files contain correspondence relating to the performance of individuals and their companies under government contracts.

Authority for maintenance of the system: 41 CFR 1-1.602 and 4-1.602.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Publication of the Debarred. Ineligible and Suspended List for distribution to USDA and other Federal purchasing officers. 2. Referral to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. 3. Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual." Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the address above.

Retrievability: Records are indexed by date and company or individual name.

Safeguards: Records are maintained in metal filing cabinets with access limited to those requiring the information for official purposes.

Retention and disposal: Records are sent to Federal Records Centers approximately 3 years after the close of a case and are destroyed approximately 2 years thereafter.

System manager(s) and address: Director, Office of Operations and Finance, United States Department of Agriculture, Washington, D.C. 20250

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from the Chief, Procurement Division, Administrative Services, Office of Operations and Finance, United States Department of Agriculture, Washington, D.C. 20250, Telephone 202-447-7527. A request for information pertaining to an individual should contain: Name; address; company name; date of debarment; ineligibility or suspension date or date of last correspondence.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the Director, Office of Operations and Finance.

Contesting record procedures: Any individual may obtain information as to the procedures for contesting a record in the system which

pertains to him by submitting a written request to the Director, Office of Operations and Finance.

Record source categories: Information in this system comes primarily from agency employees, other Federal agencies, law enforcement officials or judicial officers.

USDA/O&F—6

System name: Parking applications, USDA/O&F

System location: Office of Operations and Finance, Room 1566-S, Administrative Services, Facilities Management Division, USDA, Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals who have applied for parking privileges.

Categories of records in the system: The system consists of parking applicant's names, agencies, social security numbers and home addresses.

Authority for maintenance of the system: FPMR 101-20.117.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: No disclosures outside USDA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Files in unlocked file drawer.

Retrievability: Records are retrievable by name.

Safeguards: Stored in Government office building with security guards.

Retention and disposal: Retain for twelve months after submission of application and then dispose.

System manager(s) and address: Chief, Facilities Management Division, Administrative Services, Office of Operations and Finance, USDA, Room 1566-S, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him from persons listed under system manager(s), Office of Operations and Finance, USDA, Washington, D.C. 20250, telephone (202) 447-5225.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the system manager.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Employees who file applications.

USDA/O&F—7

System name: Secretary's Controlled Correspondence, USDA/O&F.

System location: Executive Correspondence and Records Unit, Budget and Executive Services, Office of Operations and Finance, Room 123-W, USDA, Washington, D.C. 20250.

Categories of individuals covered by the system: Cabinet Members, USDA officials and members of the public.

Categories of records in the system: Answers to request for policy statements, complaints, thank you notes, request for assistance, etc.

Authority for maintenance of the system: 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are disclosed to the General Accounting Office for the purpose of investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Filed in rotary files.

Retrievability: Records are retrieved by name of individual who responded to requests.

Safeguards: Records are kept in rooms locked in non-work hours. During work hours the records are under visual control of Secretary's Records employees.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Head, Executive Correspondence and Records Unit, Budget and Executive Services, Office of Operations and Finance, Room 123-W, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding the system of records, or information as to whether the system contains records pertaining to him from persons listed under system manager(s). Office of Operations and Finance, USDA, Washington, D.C. 20250, telephone (202) 447-3337.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the system manager.

Contesting record procedures: Any individual may contest a record in the system by using the same procedures as those for requesting access.

Record source categories: Members of the public, Cabinet Members and USDA officials.

USDA/OP—1

System name: Personnel and Payroll System for USDA employees, USDA/OP.

System location: Office of Personnel, USDA, Washington, D.C.; the National Finance Center, P.O. Box 60,000, New Orleans, Louisiana; and the personnel Offices at the following locations:

ALABAMA Soil Conservation Service State Office, Soil Conservation Bldg., P.O. Box 311, Auburn, AL 36830; Farmers Home Administration State Office, Aronov Bldg., Rm. 717, 474 South Court St., Montgomery, AL 36104; Forest Service National Forest, National Forests in Alabama, 1765 Highland Ave., P.O. Box 40, Montgomery, AL 36101.

ALASKA Forest Service Regional Office, Federal Office Bldg., P.O. Box 1628, Juneau, AK 99801.

ARIZONA Forest Service National Forest, Coconino National Forest, P.O. Box 1268, Flagstaff, AZ 86002; Forest Service, RM Forest and Range Experiment Station, Forestry Sciences Laboratory, Northern Arizona University, Flagstaff, AZ 86001; Agricultural Marketing Service Milk Market Office, 2617 North 24th St., Phoenix, AZ 85008; Farmers Home Administration State Office, Federal Bldg., Rm. 6095, 230 North First Ave., Phoenix, AZ 85025, Soil Conservation Service State Office, 230 North First Avenue, 6029 Federal Bldg., Phoenix, AZ 85025; Forest Service National Forest, Tonto National Forest, 102 So. 28th St., Phoenix AZ 85034; Forest Service National Forest, Prescott National Forest, P.O. Box 2549, Prescott, AZ 86301; Forest Service National Forest, Apache-Sitgreaves National Forests, Federal Bldg., P.O. Box 640, Springerville, AZ 85938; Forest Service, RM Forest and Range Experiment Station, Forest Hydrology Laboratory, Arizona State University, Tempe, AZ 85281; Forest Service National Forest, Coronado National Forest, P.O. Box 551, Tucson, AZ 85702, Forest Service, RM Forest and Range Experiment Station, Tumamoc Hill, University of Arizona, P.O. Box 4460, Tucson, AZ 85717; Forest Service National Forest, Kaibab National Forest, P.O. Box 817, Williams, AZ 86046.

ARKANSAS Forest Service National Forest, Ouachita National Forest, Reserve and Broadway Street, Federal Bldg., P.O. Box 1270, Hot Springs National Park, AR 71901; Agricultural Marketing Service Milk Market Office, 3518 W. Roosevelt Rd., Little Rock, AR 72204. Farmers Home Administration State Office, 5529 Federal Office Bldg., 700 W. Capitol, Little Rock, AR 72203; Forest Service National Forest, Ozark-St. Francis National Forest, W. Main and Fargo, P.O. Box 1008, Russellville, AR 72801.

CALIFORNIA Forest Service National Forest, Modoc National Forest, P.O. Box 611, Alturas, CA 96101; Agricultural Research Service Western Regional Administrative Office, 2850 Telegraph Ave., Berkeley, CA 94705; Forest Service Pacific Southwest Forest and Range Experiment Station, 1960 Addison St., P.O. Box 245, Berkeley, CA 94704; Forest Service National Forest, Inyo National Forest, 2957 Birch St., Bishop, CA 93514; Soil Conservation Service State Office, 2828 Chiles Rd., P.O. Box 1019, Davis, CA 95616; Forest Service National Forest, Six Rivers National Forest, 710 E. Street, Eureka, CA 95501; Forest Service National Forest, Sierra National Forest, Federal Bldg., Rm. 3304, 1130 O Street, Fresno, CA 93721; Forest Service National Forest, Los Padres National Forest, 42 Aero Camino, Goleta, CA 93017; Forest Service National Forest, Tahoe National Forest, Highway 49 and Coyote St., Nevada City, CA 95959; Forest Service National Forest, Angeles National Forest, 150 South Robles, Pasadena, CA 91101; Forest Service National Forest, Eldorado National Forest, 100 Forni Rd., Placerville, CA 95667; Forest Service National Forest, Sequoia National Forest, 900 W. Grand Ave., Porterville, CA 93257; Forest Service National Forest, Plumas National Forest, 159 Lawrence St., Quincy, CA 95971; Forest Service National Forest, Shasta-Trinity National Forest, 1615 Continental St., Redding, CA 96001; Forest Service National Forest, San Bernardino National Forest, 144 N. Mountain View Ave., San Bernardino, CA 92408; Forest Service National Forest, Cleveland National Forest, 3211 Fifth Ave., San Diego, CA 92103; Food and Nutrition Service Western Regional Office, 550 Kearny St., Rm. 400, San Francisco, CA 94111; Forest Service National Forest, Stanislaus National Forest, 175 S. Fairview Ln., Sonora, CA 95370; Forest Service National Forest, Lassen National

Forest, 707 Nevada St., Susanville, CA 96130; Forest Service National Forest, Mendocino National Forest, 420 E. Laurel St., Willows, CA 95988; Farmers Home Administration State Office, 459 Cleveland St., Woodlawn, CA 95695; Forest Service National Forest, Klamath National Forest, 1215 S. Main, Yreka, CA 90697.

COLORADO Forest Service National Forest, Grand Mesa-Uncompahgre Gunnison National Forests, 11th and Main, P.O. Box 138, Delta, CO 81416; Agricultural Marketing Service Milk Market Office, 4411 E. Kentucky Ave., Denver, CO 80222; Farmers Home Administration State Office, 1 Diamond Plaza, RM. 231, 2490 W. 26th Ave., Denver, CO 80211; Forest Service Regional Office, Federal Center, Bldg. 85, Denver, CO 80225; Soil Conservation Service State Office, 1 Diamond Plaza, Rm. 313, 2490 W. 26th Ave., Denver, CO 80211; Forest Service National Forest, San Juan National Forest, Oliger Bldg., P.O. Box 341, Durango, CO 81301; Forest Service Rocky Mountain Forest and Range Experiment Station, 240 W. Prospect St., Ft. Collins, CO 80521; Forest Service National Forest, Arapaho-Roosevelt National Forests, Rocky Mountain Bank and Trust Bldg., 211 Canyon St., Ft. Collins, CO 80521; Forest Service National Forest, White River National Forest, P.O. Bldg., Box 948, Glenwood Springs, CO 81601; Forest Service National Forest, Rio Grande National Forest, Rt. 2, Monte Vista, CO 81144; Forest Service National Forest, Pike-San Isabel National Forests, P.O. Bldg., Box 753, Pueblo, CO 81002; Forest Service National Forest, Routt National Forest, Hunt Bldg., P.O. Box 1198, Steamboat Springs, CO 80477;

CONNECTICUT Soil Conservation Service State Office, Mansfield Professional Park, Rt. 44A, Storrs, CT 06268;

DELAWARE Farmers Home Administration State Office, 153 Chestnut Hill Rd., Newark, DE 19711;

FLORIDA Agricultural Marketing Service Milk Market Office, Sunrise Center, Professional Bldg., P.O. Box 4886, Ft. Lauderdale, FL 33304; Farmers Home Administration State Office, Federal Bldg., Rm. 212, 401 SE., First Ave., Gainesville, FL 32601; Soil Conservation Service State Office, Federal Bldg., P.O. Box 1208, Gainesville, FL 32601; Forest Service National Forest, National Forests in Florida, 214 S. Bronough St., P.O. Box 1050, Tallahassee, FL 32302;

GEORGIA Agricultural Marketing Service Milk Market Office, 11 Corporate Square, Rm. 200, P.O. Box 49025, Atlanta, GA 30329; Forest Service Regional Office, Suite 800, 1720 Peachtree Rd., NW., Atlanta, GA 30309; Forest Service Southeastern Area, State and Private Forestry, Suite 700, 1720 Peachtree Rd., NW, Atlanta, GA 30309; Agricultural Research Service Richard B. Russell Agricultural Research Center, College Station Rd., P.O. Box 5677, Athens, GA 30604; Farmers Home Administretion State Office, 353 E. Hancock, P.O. Box 1848, Athens, GA 30601; Soil Conservation Service State Office, Federal Bldg., 355 E. Hancock Ave., P.O. Box 832, Athens, GA 30601; Forest Service National Forest, Chattahoochee-Oconee National Forest, 601 Broad St., Gainesville, GA 30501;

HAWAII Soil Conservation Service State Office, Alexander Young Bldg., Rm. 440, Honolulu, HI 96813;

IDAHO Farmers Home Administration State Office, Federal Bldg., Rm. 402, 304 N. 8th St., Boise, ID 83702; Forest Service National Forest, Boise National Forest, 1075 Park Blvd., Boise, ID 83706; Soil Conservation Service State Office, 304 N. 8th St., P.O. Box 38, Boise, ID 83702; Forest Service National Forest, Challis National Forest, Forest Service Bldg., P.O. Box 247, Challis, ID 83226; Forest Service National Forest, Idaho Panhandle National Forest, 218 N. 23rd., Coeur d'Alene, ID 83814; Forest Service National Forest, Nezperce National Forest, 319 E. Main St., Grangeville, ID 83530; Forest Service National Forest, Payette National Forest, Forest Service Bldg., P.O. Box 1026 McCall, ID 83638; Forest Service National Forest, Clearwater National Forest, P.O. Box 752, Orofino, ID 83544; Forest Service National Forest, Caribou National Forest, 427 N. Sixth Ave., P.O. Box 4189, Pocatello, ID 83201; Forest Service National Forest, Targhee National Forest, 420 N. Bridge St., St. Anthony, ID 83445; Forest Service National Forest, Salmon National Forest, Forest Service Bldg., P.O. Box 729, Salmon, ID 83467; Forest Service National Forest, Sawtooth National Forest, 1525 Addison Ave., E., Twin Falls, ID 83301;

ILLINOIS Farmers Home Administration State Office, 2106 W. Springfield Ave., Champaign, IL 61820; Soil Conservation Service State Office, Federal Bldg., 200 W. Church St., P.O. Box 678, Champaign, IL 61820; Agricultural Marketing Service Milk Market Office, 72 W. Adams St., Rm. 814, Chicago, IL 60603; Food and Nutrition Service Midwest Regional Office, 536 S. Clark St., Chicago, Il 60605; Forest Service National Forest, Shawnee National Forest, 317 E. Poplar, Harrisburg, IL 62946; Agricultural Research Service Northcentral Regional Administrative Office, 200 W. Pioneer Pkwy, Peoria, IL 61614;

INDIANA Forest Service National Forest, Wayne-Hoosier National Forest 1615 J St., Bedford, IN 47421; Agricultural Marketing Service Milk Market Office, 5130 N. Brouse Ave., P.O. Box 55527, Indianapolis, IN 46205; Farmers Home Administration State Office, Suite 1700, Atkinson Square-w 5610 Crawfordsville Rd., Indianapolis, In 46224;

IOWA Farmers Home Administration State Office, Federal Building, Rm. 873, 210 Walnut St., Des Moines, IA 50309; Soil Conservation Service State Office, Federal Bldg., Rm 823, 210 Walnut St., Des Moines, IA 50309;

KANSAS Agricultural Service Milk Market Office, 7939 Floyd Ave., P.O. Box 4606, Overland Park, KS 66204; Soil Conservation Service State Office, 760 S. Broadway, P.O. Box 600, Salina, KS 67401; Farmers Home Administration State Office, New England Bldg., Rm. 630, 5th and Kansas, Topeka, KS 66603;

KENTUCKY Farmers Home Administration State Office, 333 Waller Ave., Lexington, KY 40504; Soil Conservation Service State Office, 333 Waller Ave., Lexington, KY 40504; Agricultural Marketing Service Milk Market Office, 3920 Bardstown Rd., P.O. Box 18030, Louisville, KY 40218, Forest Service National Forest, Daniel Boone National Forest, 100 Vaught Rd., Winchester, KY 40391;

LOUISIANA Farmers Home Administration State Office, 3727 Government St., Alexandria, LA 71301; Soil Conservation Service State Office, 3737 Government St., P.O. Box 1630, Alexandria, LA 71301; Agricultural Marketing Service Milk Market Office, 3001 Ridgelake Dr., P.O. Box 456, Metairie, LA 70004; Agricultural Research Service Southern Regional Administrative Office, 701 Loyola Ave., P.O. Box 53326, New Orleans, LA 70153; Forest Service Southern Experiment Station, T-10210 Federal Bldg., 701 Loyola Ave., New Orleans, LA 70113; Forest Service National Forest, Kisatchie National Forest, 2500 Shreveport Hwy., Pineville, LA 71360; Forest Service, SA, State and Private Forestry, Alexandria Field Office, 2500 Shreveport Hwy., Pineville, LA 71360;

MAINE Farmers Home Administration State Office, USDA Office Bldg., Orono, ME 04473; Soil Conservation Service State Office, USDA Bldg., University of Maine, Orono, ME 04473;

MARYLAND Agricultural Research Service Northeastern Regional Administrative Office, Administration Bldg., Beltsville Agricultural Research Center-West, Beltsville, MD 20705; Soil Conservation Service State Office, Hartwick Bldg., Rm 522, 4321 Hartwick Rd., College Park, MD 20740; Soil Conservation Service Cartographic Division, Federal Center Bldg., Hyattsville, MD 20782;

MASSACHUSETTS Soil Conservation Service State Office, 27-29 Cottage St., Amerst, MA 01002; Agricultural Marketing Service Milk Market Office, 230 Congress St., Rm 403, Boston, MA 02110;

MICHIGAN Agricultural Marketing Service Milk Market Office, 2684 W. 11 Mile Rd., Berkley, MI 48072; Forest Service National Forest, Huron-Manistee National Forest, 421 S. Mitchell St., Cadillac, MI 49601; Farmers Home Administration State Office 1405 S. Harrison Rd., Rm 209, E. Lansing, MI 48823; Soil Conservation Service State Office, 1405 S. Harrison Rd., E. Lansing, MI 48823; Forest Service National Forest, Hiawatha National Forest, P.O. Bldg., Escanaba, MI 49829; Forest Service National Forest, Ottawa National Forest, Ironwood, MI 49938;

MINNESOTA Forest Service National Forest, Chippewa National Forest, Cass Lake, MN 56633; Agricultural Marketing Service Milk Market Office, 508 Providence Bldg., P.O. Box 62, Duluth, MN 55801; Forest Service National Forest, Superior National Forest, Duluth, MN 55801; Agricultural Marketing Service Milk Market Office, 7703 Normandale Rd., Rm. 100, Minneapolis, MN 55435; Animal and Plant Health Inspection Service Minneapolis Commodity Office, 6400 France Ave., S. Minneapolis, MN 55435; Agricultural Marketing Service Milk Market Office, 909 6th St., NW., Rochester, MN 55901; Farmers Home Administration State Office, 252 Federal Office Bldg. and U.S. Court House, St. Paul, MN 55101; Forest Service Northcentral Forest Experiment Station, Folwell Ave., St. Paul, MN 55101, Soil Conservation Service State Office, 200 Federal Bldg. and U.S. Courthouse, 316 N. Roberts St., St. Paul, MN 55101;

MISSISSIPPI Farmers Home Administration State Office, Milner Bldg., Rm. 528, Jackson, MS 39201; Soil Conservation Service State Office, Milner Bldg., P.O. Box 610, Jackson, MS 39205; Forest Service National Forest, National Forests in Mississippi, 350 Milner Bldg., Jackson, MS 39205; Forest Service, SA, State and Private Forestry, Project Manager. Y-LT, Adams Bldg., P.O. Box 69, Oxford, MS 38655;

MISSOURI Farmers Home Administration State Office, Parkade Plaza, Terrace Level, Columbia, MO 65201; Soil Conservation Service State Office, Parkade Plaza, Terrace Level, P.O. Box 459, Columbia, MO 65201; Agricultural Stabilization and Conservation Service Personnel Field Office, 8930 Ward Pky., Kansas City, MO 64114; Forest Service National Forest, National Forests in Missouri, Rolla, MO 65401; Agricultural Marketing Service Milk Market Office, 2550 Schuetz Rd., P.O. Box 1485, Maryland Heights, St. Louis, MO 63042; Farmers Home Administration Finance Office, 1520 Market St., St. Louis, MO 63103;

MONTANA Forest Service National Forest, Custer National Forest, P.O. Box 2556, Billings, MT 59103; Farmers Home Administration State Office, Federal Bldg., P.O. Box 850, Bozeman, MT 59715; Forest Service National Forest, Gallatin National Forest, Federal Bldg., Bozeman, MT 59715; Soil Conservation Service State Office, Federal Bldg., P.O. Box 970, Bozeman, MT 59715; Forest Service National Forest, Deerlodge National Forest, 107 E. Granite, Butte, MT 59701; Forest Service National Forest, Beaverhead National Forest, State H'wy. 41 and Skihi St., Dillon, MT 59725; Forest Service National Forest, Lewis and Clark National Forest, Federal Bldg., Great Falls, MT 59401; Forest Service National Forest, Helena National Forest, Steamboat Block Bldg., 616-618 Helena Ave., Helena, MT 59601; Forest Service National Forest Flathead National Forest, 290 N. Main, Kalispell, MT 59901; Forest Service National Forest, Kootenai National Forest, 418 Mineral Ave., Libby, MT 59923; Forest Service Regional Office, Federal Bldg., Missoula, MT 59801; Forest Service National Forest, Lolo National Forest, 2801 Russell, Missoula, MT 59801; Forest Service, Intermountain Forest and Range Experiment Station, Forestry Sciences and Northern Forest Fire Laboratories, University of Montana, Drawer G, Missoula, MT 59801;

NEBRASKA Forest Service National Forest, Nebraska National Forest, P.O. Box 999, Chadron, NB 69337; Farmers Home Administration State Office, Federal Bldg. and Courthouse, Rm. 430, 129 N. 10th St., Lincoln, NB 68508; Forest Service, RM Forest and Range Experiment Station, University of Nebraska, 205 Miller Hall, E. Campus, Lincoln, NB 68503; Soil Conservation Service State Office, 134 S. 12th St., Lincoln, NB 68508;

NEVADA Forest Service National Forest, Humboldt National Forest, 976 Mountain City Hwy., Elko, NV 89801; Soil Conservation Service State Office, U.S. Post Office Bldg., Rm. 234, P.O. Box 4850, Reno, NV 89505; Forest Service National Forest, Toiyabe National Forest, 111 N. Virginia, Rm 601, Reno, NV 89501;

NEW HAMPSHIRE Soil Conservation Service State Office, Federal Bldg., Durham, NH 03824;

NEW JERSEY Food and Nutrition Service Northeast Regional Office, 707 Alexander Rd., Princeton, NJ 08540; Soil Conservation Service State Office, 1370 Hamilton St., P.O. Box 219, Somerset, NJ 08873;

NEW MEXICO Forest Service National Forest, Lincoln National Forest, Federal Bldg., 11th and New York, Alamagordo, NM 88310; Farmers Home Administration State Office, Federal Bldg., Rm. 3414, 517 Gold Ave., SW, Albuquerque, NM 87102, Forest Service Regional Office, 517 Gold Ave., SW, Albuquerque, NM 87102; Forest Service National Forest, Cibola National Forest, 10308 Candelaria, NE, Albuquerque, NM 87112; Forest Service Rocky Mountain Forest and Range Experiment Station, New Federal Bldg., Rm 5423, 517 Gold Ave., SW, Albuquerque, NM 87101, Soil Conservation Service State office, 517 Gold Ave., SW, P.O. Box 2007, Albuquerque, NM 87103; Forest Service National Forest, Santa Fe National Forest, P.O. Box 1689, Santa Fe, NM 87501; Forest Service National Forest, Gila National Forest, 301 W. College Ave., Silver City, NM 88061; Forest Service National Forest, Carson National Forest, Forest Service Bldg., P.O. Box 558, Taos, NM 87571;

NEW YORK Agricultural Research Service Plum Island Animal Disease Center, P.O. Box 848, Greerport, Long Island, NY 11944, Agricultural Marketing Service Milk Market Office, 205 E 42nd St., New York, NY 10017; Farmers Home Administration State Office, Midtown Plaza, Rm. 214, 700 E. Water St., Syracuse, NY 13210; Soil Conservation Service State Office; Midtown Plaza, Rm 400, 700 E. Water St., Syracuse, NY 13210;

NORTH CAROLINA Forest Service Southeastern Experiment Station, P.O. Box 2570, Asheville, NC 28802; Forest Service National Forest, National Forests in North Carolina, 50 S. French Broad Ave., P.O. Box 2750, Asheville, NC 28802; Farmers Home Administration State Office, Federal Bldg., Rm. 514, 310 New Bern Ave., Raleigh, NC 27601; Soil Conservation Service State Office, Federal Office Bldg., 310 New Bern Ave., P.O. Box 27307, Raleigh, NC 27611;

NORTH DAKOTA Farmers Home Administration State Office, Federal Bldg., Rm. 208, 3rd and Rosser Ave., Bismarck, ND 58501; Soil Conservation Service State Office, Federal Bldg., P.O. Box 1458, Bismarck, ND 58501; Forest Service, RM Forest and Range Experiment Station, Shelterbelt Laboratory, P.O. Box 25, Bottineau, ND 58318;

OHIO Agricultural Marketing Service Milk Market Office, 7503 Brookpark Rd., P.O. Box 29066, Cleveland, OH 44129; Agricultural Marketing Service Milk Market Office; 4560 Heaton Rd., P.O. Box 29226, Columbus, OH 43229; Farmers Home Administration State Office, Old Post Office Bldg., Rm. 316, 121 E. State St., Columbus, OH 43215; Soil Conservation Service State Office, 311 Old Federal Bldg., 3rd and State Sts., Columbus, OH 43215;

OKLAHOMA Farmers Home Administration State Office, Agricultural Center Office Bldg., Stillwater, OK 74074; Soil Conservation Service State Office, Agricultural Center Bldg., Farm Rd. and Brumley St., Stillwater, OK 74074; Agricultural Marketing Service Milk Market Office, 4325 E. 51st St., P.O. Box 45563 Tulsa, OK 74143;

OREGON Forest Service National Forest, Wallowa-Whitman National Forest, Main and Auburn, Baker, OR 97814; Forest Service National Forest, Deschutes National Forest, 211 E. Revere Ave., Bend, OR 97701; Forest Service National Forest, Siuslaw National Forest, 545 S. 2nd St., Corvallis, OR 97330; Forest Service Pacific Northwest Forest and Range Experiment Station, Forestry Sciences Laboratory, 3200 Jefferson Way, Corvallis, OR 97331; Forest Service National Forest, Williamette National Forest, 210 E. 11th St., Eugene, OR 97401; Forest Service National Forest, Siskiyou National Forest, 1504 NW 6th St., Grants Pass, OR 97526, Forest Service National Forest, Malheur National Forest, 139 NE Dayton St., John Day, OR 97845; Forest Service National Forest, Winema National Forest, P.O. Bldg., Klamath Falls, OR 97601; Forest Service National Forest, Fremont National Forest, 34 D St., N., Lakeview, OR 97630; Forest Service National Forest, Rogue River National Forest, P.O. and Federal Bldg., Medford, OR 97501, Forest Service National Forest, Umatilla National Forest, 2517 SW Hailey Ave., Pendleton, OR 97801; Farmers Home Administration State Office, 1218 SW Washington St., Portland, OR 97205, Forest Service Pacific Northwest Forest and Range Experiment Station, P.O. Box 3141, Portland, OR 97208; Forest Service Regional Office, P.O. Box 3623, Portland, OR 97208; Forest Service National Forest, Mt. Hood National Forest, 2440 SE 195th Ave., Portland, OR 97223; Soil Conservation Service State Office, Washington Bldg., 1218 SW Washington St., Portland, OR 97205; Soil Conservation Service Technical Center, 511 NW Broadway, Portland, OR 97209; Agricultural Marketing Service Milk Market Office, Farmers Center Bldg., 6700 SW Varns St., P.O. Box 23354, Portland, OR 97223; Forest Service National Forest, Ochoco National Forest, Federal Bldg., Prineville, OR 97754; Forest Service National Forest, Umpqua National Forest, Federal Office Bldg., Roseburg, OR 97470;

PENNSYLVANIA Farmers Home Administration State Office, Federal Bldg., Rm. 728, 228 Walnut St., P.O. Box 905, Harrisburg, PA 17108; Soil Conservation Service State Office, Federal Bldg. and Court House, P.O. Box 985 (Fed. Square Station), Harrisburg,PA 17108; Agricultural Research Service Eastern Regional Research Center, 600 E. Mermaid Ln., Philadelphia, PA 19118; Forest Service Northeastern Area, State and Private Forestry, 6816 Market St., Upper Darby, PA 19082; Forest Service Northeastern Experiment Station, 6816 Market St., Upper Darby, PA 19082; Soil Conservation Service Technical Service Center, 7700 W. Chester Pike, Upper Darby, PA 19082; Forestry Service National Forest, Allegheny National Forest, P.O. Bldg., Warren, PA 16365;

SOUTH CAROLINA Forest Service, Forest Manager, Savannah River Project, AEC, P.O. Box A, Aiken, SC 29802; Farmers Home Administration State Office, Federal Bldg., Rm. 604, 901 Sumter St., Columbia, SC 29201; Forest Service National Forest, Francis Marion-Sumter National Forest, 1801 Assembly St., 2nd Floor, Columbia, SC 29201;

SOUTH DAKOTA Forest Service National Forest, Black Hills National Forest, Forest Service Office Bldg., P.O. Box 792, Custer, SD 57730; Farmers Home Administration State Office, Christen and Hohm Bldg., 239 Wisconsin Ave., SW, Huron, SD 57350; Soil Conservation Service State Office, 239 Wisconsin Ave., SW, P.O. Box 1357, Huron, SD 57350; Forest Service, RM Forest and Range Experiment Station, Forest Research Laboratory, South Dakota School of Mines and Technology, Rapid City, SD 57701;

TENNESSEE Agricultural Marketing Service Milk Market Office, 119 Belmont Dr., P.O. Box 3007, Bristol, TN 37620; Forest Service National Forest, Cherokee National Forest, 2321 Ocoee St., NW, P.O. Box 400, Cleveland, TN 37311; Farmers Home Administration State Office, 538 U.S. Court House Bldg., 801 Broadway, Nashville, TN 37203; Soil Conservation Service State Office, 561 U.S. Court House, Nashville, TN 37203;

TEXAS Agricultural Marketing Service Milk Market Office, 11061 Shady Trail, P.O. Box 34689, Dallas, TX 75234; Food and Nutrition Service West-Central Regional Office, 1100 Commerce St., Rm. 5-D-22, Dallas, TX 75202; Forest Service National Forest, National Forests in Texas, 3rd and Lufkin Ave., P.O. Box 969, Lufkin, TX 75901; Farmers Home Administration State Office, 3920 S. General Bruce Dr., Temple, TX 76501; Soil Conservation Service State Office, 16-20 S. Main St., P.O. Box 648, Temple, TX 76501; Soil Conservation Service Technical Service Center, Ft. Worth Federal Center, P.O. Box 11222, Fort Worth, TX 76110;

UTAH Forest Service National Forest; Dixie National Forest, 500 S. Main St., Cedar City, UT 84720; Forest Service Intermountain Experiment Station, Federal Bldg., 507-25th St., Ogden, UT 84401;

Forest Service Regional Office, Federal Office Bldg., 324-25th St., Ogden, UT 84401; Forest Service National Forest, Manti LaSal National Forest, 350 E. Main St., Price, UT 84501; Forest Service National Forest, Unita National Forest, Federal Bldg., P.O. Box 1428, Provo, UT 84601; Forest Service National Forest, Fishlake National Forest, 170 N. Main St., Richfield, UT 84701; Farmers Home Administration State Office, Federal Bldg., Rm. 5311, 125 S. State St., Salt Lake City, UT 84138; Forest Service National Forest, Wasatch National Forest, 4438 Federal Bldg., 125 S. State St., Salt Lake City, UT 84111; Soil Conservation Service State Office, 4012 Federal Bldg., 125 S. State St., Salt Lake City, UT 84138; Forest Service National Forest, Ashley National Forest, 437 E. Main St., Vernal, UT 84078;

VERMONT Soil Conservation Service State Office, 1 Burlington Square, Burlington, VT 05401; Farmers Home Administration State Office, 141 W. Main St., P.O. Box 588, Montepelier, VT 05602; Forest Service National Forest, Green Mountain National Forest, Federal Bldg., Rutland, VT 05701;

VIRGINIA Agricultural Marketing Service Milk Market Office, 300 N. Lee St., Rm. 320, Alexandria, VA 22314; Forest Service National Forest, George Washington National Forest, 210 Federal Bldg., P.O. Box 233, Harrisonburg, VA 22801; Farmers Home Administration State Office, Federal Bldg., Rm. 8213, 400 N. Eighth St., Richmond VA 23240; Soil Conservation Service State Office, 400 N. Eighth St., P.O. Box 10026, Richmond, Va 23240; Forest Service National Forest, Jefferson National Forest, 3517 Brandon Ave., SW, P.O. Box 4009, Roanoke, VA 24015;

WASHINGTON Forest Service National Forest, Colville National Forest, Colville, WA 99114; Forest Service National Forest, Okanogan National Forest, 219 2nd Ave., S., Okanogan, WA 98840; Forest Service National Forest, Olympic National Forest, Federal Bldg., Olympia, WA 98501; Agricultural Marketing Service Milk Market Office, 16 W. Harrison St., Seattle, WA 98119; Forest Service National Forest, Mt. Baker-Snoqualmie National Forests, 1601 Second Ave., Bldg., Seattle, WA 98101; Soil Conservation Service State Office, 360 U.S. Courthouse, W. 920 Riverside Ave., Spokane, WA 99201; Forest Service National Forest, Gifford Pinchot National Forest, 500 W. 12th St., Vancouver, WA 98660; Farmers Home Administration State Office, Federal Office Bldg., Rm. 319, 301 Yakima St., Wenatchee, WA 98801; Forest Service National Forest, Wenatchee National Forest, 301 Yakima St., Wenatchee, WA 98801;

WEST VIRGINIA Forest Service National Forest, Monongahela National Forest USDA Bldg., Sycamore St., Elkins, WV 26241; Farmers Home Administration State Office, Federal Bldg., Rm 320, 75 High St., Morgantown, WV 26505; Soil Conservation Service State Office, 75 High St., P.O. Box 865, Morgantown, WV 26505;

WISCONSIN Forest Service Forest Products Laboratory, N. Walnut St., P.O. Box 5130, Madison, WI 53705; Soil Conservation Service State Office, 4601 Hammersley Rd., P.O. Box 4248, Madison, WI 53711; Forest Service Regional Office, 633 W. Wisconsin Ave., Milwaukee, WI 53203; Forest Service National Forest, Chequamegon National Forest, Federal Bldg., Park Falls, WI 54552; Forest Service National Forest, Nicolet National Forest, Federal Bldg., Rhielander, WI 54501; Farmers Home Administration State Office, First Financial Plaza, Suite 209, 1305 Main St., Stevens Point, WI 54481;

WYOMING Farmers Home Administration State Office, Federal Bldg., Rm. 3213, 100 E. B. St., Casper, WY 82601; Soil Conservation Service State Office, Federal Office Bldg., P.O. Box 2440, Casper, WY 82601; Forest Service National Forest, Shoshone Bighorn National Forests, Blair Bldg. No. 1, Cody, WY 82414; Forest Service National Forest, Bridger-Teton National Forest, Forest Service Bldg., P.O. Box 1888, Jackson, WY 83001; Forest Service National Forest, Medicine Bow National Forest, Box 3355, University Station, Laramie, WY 82070; Forest Service, RM Forest and Range Experiment Station, Forest Range and Watershed Laboratory, University of Wyoming, Laramie, WY 82070;

PUERTO RICO Farmers Home Administration State Office, Segarra Bldg., Fifth Floor, 1409 Ponce deLeon Ave., STOP 20, Santurce, Puerto Rico 00907; Soil Conservation Service Caribbean Office, 1409 Ponce deLeon Ave., STOP 20, Santurce, Puerto Rico, 00908;

HEADQUARTERS Science and Education Administration, Personnel Division, Federal Center Bldg., Rm. 557, Hyattsville, MD 20782; Agricultural Marketing Service, Personnel Division, Rm. 1709-S, Washington, D.C. 20250; Agricultural Stabilization and Conservation Service, Personnel Division, Rm. 4752-S, Washington, D.C. 20250; Animal and Plant Health Inspection Service, Personnel Division, Rm. 3911-S, Washington, D.C. 20250; Economics, Statistics, and Cooperatives Service, Division of Personnel, Rm. 1441-S, Washington, D.C. 20250; Farmers Home Administration, Personnel Division, Rm. 6319-S, Washington, D.C. 20250; Federal Crop Insurance Corporation, Personnel, Management, and Administrative Service Division, Rm. 4622-S, Washington, D.C. 20250; Foreign Agricultural Service, Personnel Division, Rm. 5649-S, Washington, D.C. 20250; Forest Service, Division of Personnel Management, Rm. 910, Rosslyn Plaza E, Arlington, VA 22209; Food and Nutrition Service, Personnel Division, Rm. 712-B, 500 12th St., SW, Washington, D.C. 20250; Office of Personnel, Personnel Operations Division, Rm. 347-W, Washington, D.C. 20250; Soil Conservation Service, Personnel Division, Rm. 6212-S, Washington, D.C. 20250; Rural Electrification Administration, Personnel Management Division, Rm. 4078-S, Washington, D.C. 20250;

Categories of individuals covered by the system: Current and prior employees of USDA and applicants who were not hired, as well as, its permittees, cooperators, and contractor.

Categories of records in the system: The System consists of personnel (Official Personnel Folders, Applicant Supply Files, performance files, retention lists, appeals, grievances, complaints, disciplinary, conflict of interest, health, suggestion and incentive awards, accident, training, time and attendance, travel voucher, and classification files) and payroll data needed to conform to all applicable laws, Government Regulations and procedures, and the needs of the Department and agencies in carrying out their personnel management responsibilities.

Authority for maintenance of the system: 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to (1) Civil Service Commission for required action, records, and reports; (2) Department of Treasury for issuance of checks and bonds; (3) Department of Labor for Office of Workers Compensation Program and Office of Safety and Health Administration; (4) Department of Commerce for distribution of Federal payrolls; (5) Congress for special reports; (6) White House for special reports; (7) Office of Management and Budget for special reports; (8) General Accounting Office for special reports; (9) Department of Justice; (10) General Services Administration for records retirement and/or destruction; (11) State Department for passport and foreign assignments; (12) Department of Transportation, Environmental Protection Agency, and cooperating state and local agencies for accident and safety records; (13) Internal Revenue Service and State and local governments for matters in connection with payment of income taxes; (14) Social Security Administration for social security payment information; (15) United funds for reports and records; (16) Department of Health, Education, and Welfare for scheduling physical examinations; (17) All Government agencies and potential employers concerning employment inquiries; (18) Equal Employment Opportunity Commission for handling complaints; (19) Appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing the statute, rule, regulation or order issued pursuant thereto, of any record within this System when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; and (20) A court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders at the applicable address listed above, except for the National Finance Center where it is maintained on computer tape and disk storage.

Retrievability: Records are indexed by name of employee and/or identification number.

Safeguards: Records are kept in locked file, locked offices, and/or in secured computer tape storage rooms.

Retention and disposal: Records are maintained indefinitely until employees are separated from the Department and are then retired or transferred to a new employing agency or destroyed in conformance with appropriate General Services Administration retirement and/or destruction schedules.

System manager(s) and address: Director, Office of Personnel, USDA, Washington, D.C. 20250.

Notification procedure: Employees may request information from this System from the appropriate personnel office having custody of his records. A request for information should be addressed to the Director, Personnel Division, (name of appropriate agency), USDA, at the address shown under LOCATION and should contain:

Name of requestor, employing agency in USDA or agency to which information was furnished, address of agency, and particular information requested.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the System which pertains to him by submitting a written request to the appropriate offices referred to in the preceding paragraph.

Contesting record procedures: Same as RECORD ACCESS PROCEDURES.

Record source categories: Information in this System comes from the employee, applicants, permittees, cooperators, contractors, employee's personnel offices, supervisors, references, investigative personnel, colleges and universities, and former employers.

USDA/OP—2

System name: Security Records for USDA employees, USDA/OP.

System location: Security and Employee Relations Division, Office of Personnel, USDA, Room 16-W, Administration Building, 14th Street and Independence Avenue, SW, Washington, D.C. 20250.

Categories of individuals covered by the system: All USDA applicants and/or employees investigated under the the authority of Executive Order 10450.

Categories of records in the system: The System consists of investigative files maintained by the Department Security Officer in fulfilling his responsibilities in granting security clearances under the Personal Security Program of the Department.

Authority for maintenance of the system: 5 U.S.C. 22-1; 22-3; Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referral to the Civil Service Commission and/or the Federal Bureau of Investigation for appropriate investigation; (2) referral to the agency which conducted the investigation upon the retirement or transfer of the employee; (3) referral to the General Services Administration for retirement and/or destruction purposes; (4) certification of Security Clearances to other Government agencies; (5) referral to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting a violation of law, or of enforcing or implementing a statute, rule, regulation or order issued pursuant thereto, of any record within this System when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto; (6) referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in locked Lektriever 100's which are contained in a locked room.

Retrievability: Records are indexed by name of the employee or applicant.

Safeguards: As stated above under STORAGE.

Retention and disposal: Records are maintained until employee has retired, or transferred to another Government agency. They are then returned to the agency that conducted the investigation, or retired to the General Services Administration for destruction under the appropriate destruction schedule.

System manager(s) and address: Department Security Officer, U.S. Department of Agriculture, Washington, D.C. 20250.

Notification procedure: Employees may request information, other than that exempted, from this System from the Department Security Officer, U.S. Department of Agriculture, under the address shown above in LOCATION. All requests should include the name of the requestor, employing agency or agency to where application was made, address of requestor, location of employing agency, and particular information requested.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to and contesting a record in the System which pertains to him by submitting a written request to the office mentioned above.

Contesting record procedures: Same as RECORD ACCESS PROCEDURES

Record source categories: Information in this System comes from the employee, his references, present and former supervisors, educational institutions, the Civil Service Commission, the Federal Bureau of Investigation, the investigative arms of the various agencies of the Department of Defense, the investigative arms of other Executive Departments and Agencies, and various local and state law enforcement agencies.

USDA/SEA—1

System name: Biographical material and nominating statements on SEA employees proposed for major awards, USDA/SEA

System location: Office of the Chief, Information Staff, Science and Education Administration, USDA, Washington, D.C. 20250.

Categories of individuals covered by the system: SEA employees who have been proposed, or actually nominated, by SEA for major national or international awards in science, administration, and public service.

Categories of records in the system: The system consists of biographical information, material on the nature and significance of the individual's achievements, and file copies of nominating statements prepared for the Director of SEA.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Preparation of nominating statements on SEA employees for major national and international awards, and references to nominations previously prepared, for submission to the U.S. Civil Service Commission, the Executive Office of the President, the National Civil Service League, the Junior Chamber of Commerce, and various educational or public service foundations which administer national or international awards. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed alphabetically by name of employee.

Safeguards: Stored in offices within Government office building protected by security guards.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Chief, Information Staff, Science and Education Administration, USDA, Washington, D.C. 20250. (202-447-6168).

Notification procedure: Any individual may request information about this system of records, or information as to whether the system contains records pertaining to him, from the System Manager.

Record access procedures: Any individual may obtain a copy of information pertaining to him by submitting a written request to the System Manager.

Contesting record procedures: Any individual may contest information in the system which pertains to him by submitting pertinent written information to the System Manager.

Record source categories: Information in this system comes primarily from supervisors and colleagues of the employees, scientific publications and other material provided by the individuals themselves, and nominations and articles related to previous awards.

USDA/SEA—2

System name: Biographical material on persons related to science or agriculture, USDA/SEA.

System location: Office of Chief, Information Staff, Science and Education Administration, USDA, Washington, D.C. 20250, and Regional Information Office, USDA/SEA, Northeastern Region, Room 251, Building 003, Beltsville Agricultural Research Center-West, Beltsville, Maryland 20705.

Categories of individuals covered by the system: Persons whose training, position, or achievements make them prominent in either science or agriculture, or both.

Categories of records in the system: The system consists of clippings, press releases, newsletters, articles, editorials, biographical sketches, speeches, letters of commendation, award citations, and other simnilar materials.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Background and illustrations for speeches, introductions, articles, press releases, scripts, and slide presentations, which may be presented to the general public, news media, and professional, fraternal, and social organizations and Government agencies. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by first letter of person's name.

Safeguards: Stored in offices within Government office building protected by security guards.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Chief, Information Staff, Science and Education Administration, USDA, Washington, D.C. 20250 (telephone 202-447-6785), and Regional Information Officer, USDA-ARS-Northeastern Region, Room 251, Building 003, Beltsville Agricultural Research Center-West, Beltsville, Maryland 20705 (telephone 301-344-2050).

Notification procedure: Any individual may request information about this system of records, or information as to whether the system contains records pertaining to him, from the System Manager.

Record access procedures: Any individual may obtain a copy of information pertaining to him by submitting a written request to the System Manager.

Contesting record procedures: Any individual may contest information in the system which pertains to him by submitting pertinent written information to the System Manager.

Record source categories: Information in this system comes primarily from newspapers, magazines, standard reference sources, correspondence circulated in the agency, information materials prepared for public release, and material provided by the individuals themselves.

USDA/SEA—3

System name: USDA/SEA Manpower File.

System location: Personnel Division, Science and Education Administration Federal Building, Hyattsville, Maryland 20782.

Categories of individuals covered by the system: All employees of the Agricultural Research Service.

Categories of records in the system: The system consists of a skeletal personnel record of each employee for organizational, grade analysis, strength accounting, and statistical purposes.

Authority for maintenance of the system: 5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Numerical, statistical, and other special reports, to Civil Service Commission, Office of Management and Budget, General Services Administration, and General Accounting Office; preparation of SEA telephone directory. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained on computer disks and tapes at the USDA Computer Centers in Washington, D.C., and New Orleans, Louisiana.

Retrievability: Records are indexed by the employee's social security numbers.

Safeguards: Records are kept in secured computer tape or disk storage rooms and information requests are accepted only from specifically authorized personnel or high level SEA management officials.

Retention and disposal: Records are maintained in current files for as long as an employee remains on SEA rolls, and statistical information since July 1972 is retained indefinitely.

System manager(s) and address: Director, Personnel Division, SEA, USDA, Hyattsville, Maryland 20782 (telephone 301-436-8100).

Notification procedure: Any individual may request information concerning himself from this system from the System Manager by submitting a request which should include: Name, Agency, address, and particular information request.

Record access procedures: Any individual may obtain information about the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the System Manager.

Contesting record procedures: Any individual may contest information in the system which pertains to him by submitting pertinent written information to the System Manager.

Record source categories: Information in this system comes primarily from the employees' personnel office, but may also come from the employees or their supervisors.

USDA/SEA—4

System name: Solicitation of bids or proposals for procurement contracts, USDA/SEA.

System location: Office of the Director, General Services Division, USDA/SEA, Hyattsville, Maryland 20782, and Regional Administrative Offices, SEA, at the following locations:

Regional Administrative Officer
USDA-SEA-Northeastern Region
Room 329, Bldg. 003, BARC-W
Beltsville, Maryland 20705
(301) 344-3646
Regional Administrative Officer
USDA-SEA-Western Region
2850 Telegraph Avenue
Berkeley, California 94705
(415) 486-3367; FTS 449-3367
Regional Administrative Officer
USDA-SEA-Southern Region
P.O. Box 53326
New Orleans, Louisiana 70153
(504) 589-2584; FTS 682-2584
Regional Administrative Officer
USDA-SEA-North Central Region
2000 W. Pioneer Parkway
Peoria, Illinois 61614
(309) 671-7162; FTS 360-7162

Categories of individuals covered by the system: Individuals who submit bids or proposals to furnish supplies or perform services under contract with USDA/SEA.

Categories of records in the system: The system consists of files of all bids or offers received and awards made in regard to solicitations issued by USDA/SEA, including copies of actual bids or offers and modifications thereto, and reports or statements by bidders or offerors about their financial and professional or technical capabilities of furnishing the supplies or rendering the services described in the solicitation.

Authority for maintenance of the system: 5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This information is also sometimes used in deciding courses of action in the event of contractor default and in handling protests made by other competing bidders or offerors when the capabilities of the successful bidder or offeror is the basis of the protest. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by solicitation number, by contract number, and by name of contractor.

Safeguards: Records are kept in a locked office when not in custody of procurement officers of their subordinates.

Retention and disposal: Records are maintained until 6 years after contract termination or final contract payment is made.

System manager(s) and address: The Director, General Services Division, USDA/SEA, Hyattsville, Maryland 20782, or the Regional Administrative Officers at the address given herein.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the appropriate System Manager. If the specific location of the record is not known, the individual should address his request to the Director, General Services Division, who, if necessary, will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., the date of the solicitation giving rise to the records, date bid or offer was filed, correspondence, etc.).

Record access procedures: Any individual may obtain information about the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the appropriate System Manager.

Contesting record procedures: Any individual may contest a record in the system which pertains to him by submitting pertinent written information to the appropriate System Manager.

Record source categories: Information in this system comes from the business firm or individual concerned or the Small Business Administration in the case of small business set-aside procurements,

and previous USDA/SEA records of procurement contracts in which the business firm or individual was the principal party to the contract.

USDA/SEA—5

System name: Training file, USDA/SEA.

System location: Personnel Division, Science and Education Administration, Federal Building, Hyattsville, Maryland 20782.

Categories of individuals covered by the system: All employees of the Agricultural Research Service, and any State or local Government employee or other Federal agency employee who receives supervisory training through SEA.

Categories of records in the system: The system consists of a skeletal record of each SEA employee and each non-SEA employee who receives supervisory training, for training analysis and statistical purposes.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Identification of employees who have received, or who must receive, mandatory training courses such as Supervisory Training and Specific Labor Management Relations Training; numerical, statistical, and other special training reports to Civil Service Commission, Office of Management and Budget, and General Accounting Office. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained on computer disks and tapes at the USDA Computer Centers in Washington, D.C. and New Orleans, Louisiana.

Retrievability: Records are indexed by the employee's social security numbers.

Safeguards: Records are kept in secured computer tape or disk storage rooms and information requests are accepted only from specifically authorized personnel or high level SEA management officials.

Retention and disposal: Records are maintained in current files for as long as an employee remains on SEA rolls, and statistical information since July 1972 is retained indefinitely.

System manager(s) and address: Director, Personnel Division, SEA, USDA, Hyattsville, Maryland 20782 (telephone 301-436-8100).

Notification procedure: Any individual may request information concerning himself from this system from the System Manager by submitting a request which should include: Name, Agency, address, and particular information requested.

Record access procedures: Any individual may obtain information about procedures for gaining access to a record in the system which pertains to him by submitting a written request to the System Manager.

Contesting record procedures: Any individual may contest information in the system which pertains to him by submitting pertinent written information to the System Manager.

Record source categories: Information in this system comes primarily from the employees' personnel office, but may also come from the employees or their supervisors.

USDA/SEA—6

System name: Research Medical Records System on Patients and Human Volunteers Participating in Research at the USDA-SEA Human Nutrition Laboratory, USDA/SEA.

System location: U.S. Department of Agriculture, Science and Education Administration, Human Nutrition Laboratory, North Central Region, 2420 Second Avenue North, Grand Forks, North Dakota 58201.

Categories of individuals covered by the system: Individuals participating in human research carried out by the staff of the Human Nutrition Laboratory.

Categories of records in the system: Medical and nutritional histories, medical and nutritional examinations, diagnostic and treatment data, information of social and economic data, laboratory data, statistical summaries, correspondence.

Authority for maintenance of the system: 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Analysis of research findings and report of research findings. The identification of individuals who participate in the research is not revealed in the report of research findings. (2) To provide information to a congressional office from the record of an individual in response to an inquiry from a congressional office made at the request of the individual. (3) Referral to an appropriate Agency, whether Federal, State, or Local, charged with the responsibility for investigating or prosecuting a violation of law, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto. (4) Referral to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery. (5) Referral to the Department of Justice for the defense of suits against the United States or its officers, or for the institution of suits for the recovery of claims by the United States Department of Agriculture.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, magnetic tapes, punch cards, punch paper tape.

Retrievability: Individuals are identified by identification number and name.

Safeguards: Locked storage area, personnel training and instruction. USDA-SEA, policy on release of information, job description responsibility.

Retention and disposal: Scientific records are maintained indefinitely.

System manager(s) and address: Director, USDA, SEA, Human Nutrition Laboratory, North Central Region, 2420 Second Avenue North, Grand Forks, North Dakota 58201.

Notification procedure: Any individual may request information about this system of records, or information as to whether the system contains records pertaining to him, from the System Manager.

Record access procedures: Any individual may obtain a copy of information pertaining to him by submitting a written request to the System Manager.

Contesting record procedures: Any individual may contest information in the system which pertains to him by submitting pertinent information to the System Manager.

Record source categories: Individual, health care personnel, other hospitals and physicians, employers, social agencies.

USDA/SEA—7

System name: Dosimetry Report on Individuals in USDA Required by Radiological Safety Committee to Wear Radiation Exposure Measuring Film Badges When Appropriate, USDA/SEA.

System location: Radiological Safety Staff, Science and Education Administration, USDA, Room 226, Building 001, BARC-West, Beltsville, Maryland 20705.

Categories of individuals covered by the system: All individuals who use radioactive material and/or radiation equipment which emit strong beta particles, neutrons, gamma rays or X-rays.

Categories of records in the system: The system indicates individual's name, date of birth and social security number, issue date, monthly beta, gamma, neutron and X-ray dosages, classification of dosages as penetrating or non-penetrating, and cumulative totals for the calendar quarter and calendar year.

Authority for maintenance of the system: 42 USC 2111 and 42 USC 2201(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system permits the maintenance of a monthly and cumulative record of each film badge wearer's radiation exposure. This information may be:

1. Disclosed to the Nuclear Regulatory Commission for review, compliance, and investigation purposes.

2. Disclosed to a doctor, hospital, or other competent medical authority in event of a medical emergency involving radiation exposure.

3. Disclosed to the Department of Labor; Veterans Administration; Social Security Administration; U.S. Civil Service Commission; Department of Defense; Federal agencies which may have special civilian employee retirement programs; national, State, county, municipal, or other publicly recognized charitable or social security administration agency to adjudicate a claim for benefits under the Bureau of Retirement, Insurance, and Occupational Health or the recipient's benefit program(s), or to conduct an analytical study of benefits being paid under such programs.

4. Disclosed to health insurance carriers or plans participating in Federal Employees' Health Benefits Program in support of a claim for health insurance benefits involving radiation exposure.

5. Disclosed to Federal Employees' Group Life Insurance Program in support of a claim for life insurance benefits involving radiation exposure.

6. Disclosed to an organization to which the individual is transferred, upon written request of that organization.

7. Used to provide information to a congressional office from the record of an individual in response to an inquiry from a congressional office made at the request of the individual.

8. Referred to an appropriate Agency, whether Federal, State, or local, charged with the responsibility for investigating or prosecuting a violation of law, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

9. Referred to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, of any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

10. Referred to the Department of Justice for the defense of suits against the United States or its officers, or for the institution of suits for the recovery of claims by the United States Department of Agriculture.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Current system is maintained in file drawers in Radiological Safety Staff office. Past reports maintained in Federal Records Center (FRC). Microfilms of past reports maintained in FRC and in file cabinet in Radiological Safety Staff office.

Retrievability: By assigned individual Code Number, City, and State.

Safeguards: Stored in metal file cabinets within Government building protected by security guards.

Retention and disposal: U.S. Nuclear Regulatory Commission requires retention of records until such time the Commission authorizes their disposition.

System manager(s) and address: Radiological Safety Officer, USDA, Science and Education Administration, Radiological Safety Staff, Room 226, Building 001, BARC-West, Beltsville, Maryland 20705.

Notification procedure: Any individual may request information concerning himself from this system, or information as to whether the system contains records pertaining to him, by writing to the System Manager.

Record access procedures: Any individual may obtain a copy of the information pertaining to him by submitting a written request to the System Manager.

Contesting record procedures: Any individual may contest information in the system which pertains to him by submitting pertinent written information to the Chairman, Radiological Safety Committee, USDA, Science and Education Administration, Room 307A, Building 005, BARC-West, Beltsville, Maryland 20705.

Record source categories: Personal information about each individual is provided by the individual. Dosimetry information is provided by a commercial film badge supplier under contract with USDA who routinely receives, processes, and evaluates the film packets and furnishes the System Manager the appropriate information.

USDA/SEA—8

System name: Education and Radiation Training and Experience Report on Persons in USDA Using Radioactive Materials and/or Equipment Which Emits Ionizing Radiation, USDA/SEA.

System location: Radiological Safety Staff, Science and Education Administration, USDA, Room 226. Building 001, BARC-West, Beltsville, Maryland 20705.

Categories of individuals covered by the system: All persons in USDA who are responsible for, or independent users of, radioactive materials and/or equipment which emits ionizing radiation.

Categories of records in the system: The system consists of information on a person's educational background including formal courses and on-the-job training in radiation; experience in actual use of radioactive materials and/or equipment which emits ionizing radiation; experience in the use of radiation detection and measuring instrumentation; and additional information such as pertinent publications, speeches, etc., which will assist in the evaluation of a person's qualifications to safely use radioactive materials and/or equipment which emits ionizing radiation to protect his health and to minimize danger to life or property.

Authority for maintenance of the system: 42 U.S.C. 2111 and 42 USC 2201(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used by the Department's Radiological Safety Committee and Radiological Safety Staff in its determination to approve or deny a person's procurement and use of potentially hazardous radioactive materials and/or equipment which emits ionizing radiation. When applicable, the system supplies information for maintenance of required radiation exposure records on persons who are required to wear personnel monitoring devices while using radioactive materials and/or equipment which emits ionizing radiation. The information may be:

1. Disclosed to the Nuclear Regulatory Commission for review, compliance, and investigation purposes.

2. Disclosed to the Department of Labor; Veterans Administration; Social Security Administration; U.S. Civil Service Commission; Department of Defense; Federal agencies which may have special civilian employee retirement programs; national, State, county, municipal, or other publicly recognized charitable or social security administration agency to adjudicate a claim for benefits under the Bureau of Retirement, Insurance, and Occupational Health, or the recipient's benefit program(s), or to conduct an analytical study of benefits being paid under such programs.

3. Disclosed to health insurance carriers or plans participating in Federal Employees' Health Benefits Program in support of a claim for health insurance benefits involving radiation exposure.

4. Disclosed to Federal Employees' Group Life Insurance Program in support of a claim for life insurance benefits involving radiation exposure.

5. Disclosed to an organization to which the individual is transferred, upon written request of that organization.

6. Used to provide information to a congressional office from the record of an individual in response to an inquiry from a congressional office made at the request of the individual.

7. Referred to an appropriate Agency, whether Federal, State, or Local, charged with the responsibility for investigating or prosecuting a violation of law, rule, regulation, or order issued pursuant thereto, of any record within this system when information available indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by rule, regulation or order issued pursuant thereto.

8. Referred to a court, magistrate or administrative tribunal, or to opposing counsel in a proceeding before any of the above, or any record within the system which constitutes evidence in that proceeding, or which is sought in the course of discovery.

9. Referred to the Department of Justice for the defense of suits against the United States or its officers, or for the institution of suits for the recovery of claims by the United States Department of Agriculture.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: System is maintained in files in Radiological Safety Staff office.

Retrievability: Alphabetically by name.

Safeguards: Stored in the Radiological Safety Staff office within Government building protected by security guards.

Retention and disposal: Records are maintained until the Radiological Safety Staff knows that the individual is no longer using radioactive materials and/or equipment which emits ionizing radiation, has retired, or is deceased. Records are disposed of by shredding.

System manager(s) and address: Radiological Safety Officer, USDA, Science and Education Administration, Radiological Safety Staff, Room 226, Building 001, BARC-WEST, Beltsville, Maryland 20705.

Notification procedure: Any individual may request information about this system of records, or information as to whether the system contains records pertaining to him, from the System Manager.

Record access procedures: Any individual may obtain a copy of the information pertaining to him by submitting a written request to the System Manager.

Contesting record procedures: Any individual may contest information in the system which pertains to him by submitting pertinent information to the Chairman, Radiological Safety Committee, USDA, Science and Education Administration, Room 307A, Building 005, BARC-West, Beltsville, Maryland 20705.

Record source categories: Information for system is supplied directly by the individual applying to the Radiological Safety Committee for authority to procure and use radioactive materials and/or equipment which emits ionizing radiation. The individual signs and dates the form.

USDA/SEA—9

System name: Biographical Information—Office of Information, USDA/SEA

System location: Science and Education Administration—CR, USDA, Washington, D.C. 20250

Categories of individuals covered by the system: Individuals who are associated with the U.S. Department of Agriculture, State Agricultural Experiment Stations, Cooperating Schools of Forestry, Colleges of 1890 and Tuskegee Institute, and individuals who are associated with the Land-Grant universities.

Categories of records in the system: This system consists of all information that has been collected on individuals as it relates to significant accomplishments, positions held, and honors received.

Authority for maintenance of the system: 7 U.S.C. 361a-i, 450i; 16 U.S.C. 582a582a-7; 7 CFR 2.7 and 2.58

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For resource material in preparing news items for the experiment stations' weekly newsletters and for responding to requests for biographic information about an individual. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in a file cabinet in the office of the SEA Deputy Director for Cooperative Research at the address listed above.

Retrievability: Majority of records are indexed by name of individual. Some are filed by institution.

Safeguards: Official government office building with security guards.

Retention and disposal: Biographic information is retained as long as it is deemed necessary to carry out responsibilities of the agency. Disposal of outdated material in the file is at the discretion of the Director responsible for maintaining the file.

System manager(s) and address: Deputy Director for Cooperative Research, Science and Education Administration, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the System Manager listed above. A request of information pertaining to an individual should contain: name, address, and particulars involved.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to the system which pertains to him by submitting a written request to the official referred to in the preceding paragraph.

Contesting record procedures: Same as procedures for access described above.

Record source categories: Information for this system comes from published articles or correspondence with the individual or from any individual or institutional source that wishes to bring the special achievements of an individual to the attention of SEA.

USDA/SEA—10

System name: Biographical Information on McIntire-Stennis Advisory Board and Advisory Committee Members USDA/SEA

System location: Office of the Deputy Director for Cooperative Research, Science and Education Administration, USDA, Washington, D.C. 20250.

Categories of individuals covered by the system: Individuals serving as members of the McIntire-Stennis Cooperative Forestry Act Advisory Board or Advisory Committee.

Categories of records in the system: This system consists of biographic information on the members on the McIntire-Stennis Advisory Board and members on the McIntire-Stennis Advisory Committee.

Authority for maintenance of the system: 16 U.S.C. 582a-7, 7 CFR 2.7 and 2.58

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Press releases or response to requests from public. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in a folder in a file cabinet at the above listed address.

Retrievability: Biographichal information on each individual is contained in a folder entitled "Biographical Sketches on Advisory Board and Advisory Committee Members." Information is retrieved by name of the individual.

Safeguards: Official government office building with security guards.

Retention and disposal: Records are maintained as long as needed to carry out agency responsibilities. Disposal of out-of-date material is at the discretion of the Deputy Director responsible for the file.

System manager(s) and address: Deputy Director for Cooperative Research, Science and Education Administration, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the System Manager. A request for information pertaining to an individual should contain: name, address, and particulars involved.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to the system which pertains to him by submitting a written request to the appropriate official referred to in the preceding paragraph.

Contesting record procedures: Same as procedures for access described above.

Record source categories: Information on this system comes primarily from the individuals themselves or the institutions they are associated with.

USDA/SEA—11

System name: Current Research Information System, USDA/SEA

System location: Science and Education Administration, 14th Street and Independence Avenue, Washington, D.C. 20250

Categories of individuals covered by the system: Scientists listed on research projects entered into the Current Research Information System (CRIS).

Categories of records in the system: Research projects of USDA agencies and research projects of those State institutions receiving SEA administered funds in support of research.

Authority for maintenance of the system: 5 U.S.C. 301; 7 CFR 2.7, 2.58

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Documentation and reporting of research activities conducted by USDA agencies and documentation and reporting of research activities conducted by State institutions receiving SEA administered funds for research. (2) Referral to contractors for preparation in a form that can be entered into the computer. (3) Referral to the Smithsonian Science Information Exchange, Inc. (4) Referral to research scientists and Administrators of all Government agencies and affiliated institutions in connection with information retrieval requests in special subject areas. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressioonal office made at the request of that individual."

Storage: Records are maintained on computer tape at the USDA Washington Computer Center.

Retrievability: By name of project leader.

Safeguards: Access to tape storage area limited to Washington Computer Center personnel.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Director SEA Technical Information Systems, CRIS, National Agricultural Library, Beltsville, Maryland 20705 (telephone 301-344-3846).

Notification procedure: Any individual may request information regarding this system of records or information as to whether the system contains records pertaining to him from the System Manager. A request for information pertaining to an individual should contain: name, address, and agency or institution.

Record access procedures: Any individual may obtain information as to the procedure for gaining access to the system which pertains to him, by submitting a written request to the Director, Current Research Information System.

Contesting record procedures: Same as procedures for access described above.

Record source categories: Information in this system primarily comes from USDA research agencies and State institutions receiving SEA administered funds for research.

USDA/SEA—12

System name: Cooperative Extension Personnel Records System, USDA/SEA.

System location: Personnel Staff, Extension Service, SEA, Room 6438, South Building, 14th & Independence Ave., SW, Washington, D.C. 20250.

Categories of individuals covered by the system: All employees of State Extension Services who hold an Excepted Federal Appointment without compensation.

Categories of records in the system: Microfiche copies of personnel actions taken by individual states under delegated personnel authority to support entitlement of employees to the benefit areas of retirement, life and health insurance, workman's and unemployment compensation.

Authority for maintenance of the system: 5 U.S.C. 301; 7 U.S.C. 341, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Civil Service Commission and Department of Labor are supplied supporting documentation for benefit claims of employees and Cooperative Extension Service Personnel Offices are supplied specific assistance upon request. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on microfiche at the address listed.

Retrievability: Records are indexed by name of employee.

Safeguards: In authorized locked cabinet.

Retention and disposal: Records are disposed of in accordance with General Services Administration retirement and/or destruction schedules.

System manager(s) and address: Chief, Personnel Staff, SEA-ES, U.S. Department of Agriculture, Washington, D.C. 20250.

Notification procedure: Any individual may request information concerning himself from this system. A request for information should be addressed to the System Manager and should contain: Name, address and particular information requested.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the System which pertains to him by submitting a written request to the System Manager.

Contesting record procedures: Use same procedures as for requesting access.

Record source categories: Information in this System comes primarily from the employee with additional data provided by the employee's personnel office.

USDA/SEA—13

System name: State Cooperative Extension Service Employees, USDA/SEA

System location: Reports and Analysis Branch, Management Operations Staff, Science and Education Administration, Extension Service, USDA, Room 6020, South Building, 14th and Independence Ave., SW, Washington, D.C. 20250.

Categories of individuals covered by the system: All professional employees of the State Cooperative Extension Services from 1968 to present.

Categories of records in the system: Magnetic tapes are made from punch cards on information from the personnel records taken and submitted by State Cooperative Extension Services.

Authority for maintenance of the system: 5 U.S.C. 301; 7 U.S.C. 341, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on magnetic tape at the address listed.

Retrievability: Records are entered by social security number or other unique State identifying number.

Safeguards: Authorization must be obtained from the Deputy Director, SEA/ES, USDA or Chief of Personnel, SEA/ES, USDA, before information is released. All printed matter is kept in locked rooms.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Chief, Reports and Analysis Branch, Management Operations Staff, SEA/ES, USDA, Washington, D.C. 20250.

Notification procedure: Any individual may request information concerning himself from this system. A request for information should be addressed to the System Manager, and should contain: Name, address, social security number, and the particular information requested.

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the System which pertains to him by submitting a written request to the System Manager.

Contesting record procedures: Use same procedures as for requesting access.

Record source categories: Information in this System comes primarily from the employee with additional data provided by the employee's personnel office.

USDA/SEC—1

System name: Non-Career Applicant File, USDA/SEC

System location: Office of the Secretary, 14th and Independence Avenue, SW., Room 202A, Administration Building, Washington, D.C. 20250

Categories of individuals covered by the system: Individuals who have applied or have been referred to the Department for non-career appointments.

Categories of records in the system: Consists of resumes and correspondence regarding individuals who are generally interested in non-career appointments, who are candidates for specific appointments and those who have been appointed.

Authority for maintenance of the system: 5 U.S.C. 3301-3302; 5 CFR Part 9.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referred to agency heads in anticipation of or in the case of specific non-career vacancies. "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records maintained in file folders in the Office of the Deputy Under Secretary, United States Department of Agriculture, Washington, D.C. 20250.

Retrievability: Records indexed by name of individual.

Safeguards: Records kept in locked files with a pad locked security bar.

Retention and disposal: Records more than a year old are usually disposed of or if an applicant has accepted employment elsewhere, the files are discarded.

System manager(s) and address: Deputy Under Secretary, Office of the Secretary, United States Department of Agriculture, Room 202-E, Administration Building, Washington, D.C. 20250.

Notification procedure: Any person may request information regarding this system of records, or information as to whether the system contains records pertaining to him, from the System Manager. Such requests should include the name and address of the requester and a statement of his reasons for believing the system may contain records about him.

Record access procedures: Use same procedures as for requesting Notification.

Contesting record procedures: Use same procedures as for requesting Notification.

Record source categories: Information on this system comes from the individuals themselves, various federal, state and local governmental agencies, and persons having knowledge of the individual's character and capabilities.

Systems exempted from certain provisions of the act: This system has been exempted pursuant to 5 U.S.C. 552a(k)(5) from the requirements of 5 USC 552a(c)(3), (d), (e)(l), (e)(4) (G), (H) and (I) and (f), but only to the extent that disclosure of records contained in the system would reveal the identity of a source who had furnished information to the Government under an express promise that the identity of the source would be held in confidence (or, prior to September 27, 1975, under an implied promise the identity of the source would be held in confidence). See 7 CFR 1.123. If such promise of confidentiality could not be made, the Department's ability to obtain candid evaluations of persons being considered for appointment to non-career positions would be greatly impaired. This exemption enables the Department to obtain needed information when the source will not provide it unless he has promised that his identity will be kept confidential.

USDA/SCS—1

System name: Program Cooperators—Soil Conservation Service, USDA/SCS

System location: All field offices of the Soil Conservation Service, usually located in county seats of government. Addresses of each field office are listed in the telephone directories of the field office locations under the heading, "United States Government, Department of Agriculture, Soil Conservation Service."

Categories of individuals covered by the system: Cooperators with SCS Programs including Soil and Water District Cooperators, Great Plains Conservation Program Cooperators, Water Bank Cooperators, Irrigation District Cooperators, and Welton-Mohawk Project Cooperators.

Categories of records in the system: The System consists of file folders on individual cooperators recording the planning, development and accomplishments of the plan on his land. These files contain personal and economic data.

Authority for maintenance of the system: P.L. 46, 74th Congress, as amended, (16 U.S.C. 590 a-f, i-l, q, q-l;) and related laws 42 U.S.C. 3271-3274; 7 U.S.C. 2201); and implementing regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: "Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual."

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders in field offices.

Retrievability: Records are indexed by name of cooperator and maintained alphabetically.

Safeguards: Records are maintained in standard files and offices are locked during off hours.

Retention and disposal: Records are maintained until plans are cancelled, at which time basic resource data is retained, as appropriate, and other data is destroyed.

System manager(s) and address: District Conservationists or other designees in charge of field offices.

Notification procedure: Any individual may request information regarding this system of records, or information as to whether the system contains records pertaining to him by contacting the respective district conservationist or other designee. If the specific location of the record is not known, the individual should address his request to the Chief, Records and Communications Management Branch, USDA-Soil Conservation Service, Washington, D.C. 20250, who will refer it to the appropriate field office. A request for information pertaining to an individual should contain: Name, address, and particulars involved (i.e., name or nature of program, name of cooperating body; etc.).

Record access procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the District Conservationist or his designated representative or to Chief, Records and Communications Management Branch, USDA-SCS, Washington, D.C.

Contesting record procedures: Any individual may obtain information as to the procedures for gaining access to a record in the system which pertains to him by submitting a written request to the District Conservationist or his designated representative or to Chief, Records and Communications Management Branch, USDA-SCS, Washington, D.C.

Record source categories: Information in this system comes from landowners and occupiers (cooperators) and SCS technicians who develop and manage plans with them.

USDA/SCS—3

System name: Federal Financed Cost-Sharing Information applicable to individual particpants in USDA—Soil Conservation Service (SCS) programs.

System location: Records in this system are maintained at the Soil Conservation Service. Headquarters in Washington, D.C. and in the Computer Centers located at the National Finance Center, New Orleans, Louisiana, SCS Technical Service Center, Fort Worth, Texas, and USDA Computer Centers located in Washington, D.C., Fort Collins, Colorado, and Kansas City, Missouri.

Categories of individuals covered by the system: Volunteer participants, namely landowners and operators in conservation programs administered by the Soil Conservation Service where federally financed cost sharing is involved. The programs are the Great Plains Conservation Program, Small Watershed Program, Rural Abandoned Mine Program, and Resource Conservation and Development Program.

Categories of records in the system: Computer data cards, tapes, computer printouts, and hard copies of records. these records include name, address, social security number, SCS program, and amount of payment by program.

Authority for maintenance of the system: Soil Conservation Act, Pub. L. 74–46, 49 Stat. 163, (16 U.S.C. 590a–f, q); Resource Conservation and Development Program, Pub. L. 87–703, as amended (7 U.S.C. 1010–1011); Small Watershed Program, Pub. L. 83–566, 68 Stat. 666, as amended (16 U.S.C. 1001–1009); Rural Abandoned Mine Program, Pub. L. 95–87, 91 Stat. 163 (16 U.S.C. 590 a–f, q); Great Plains Conservation Program, Pub. L. 84–1021, 70 Stat. 1115, as amended (16 U.S.C. 590 p(b)); and related laws 42 U.S.C. 3271–3274.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Report to Internal Revenue Service (IRS) of payments made to individual participants for income tax purposes. Also used by authorized USDA personnel for budget estimates and program cost data.

Disclosure of data to IRS is in accordance with the Internal Revenue Act of 1954 (26 U.S.C. 6041) as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

By individual on keypunched cards or magnetic tapes for computers.

Retrievability: Names and addresses of the individuals are kept for reports to the Internal Revenue Service. Record material will be retrieved by name, social security number, and program applicable.

Safeguards: Locked file cabinets, locked computer storage rooms, and locked computer terminal rooms. Access to records is in accordance with USDA ADP security plan as supplemented by SCS.

Retention and disposal: Maintained indefinitely on a currently updated basis.

System manager(s) and address: Chief, Management Systems Branch, Management Evaluation Division, Soil Conservation Service, P.O. Box 2890, Washington, D.C. 20013.

Notification procedure: Any Soil Conservation Service officer from which the individual participant has received technical assistance for implementation of a conservation plan required for Federal cost-sharing financial assistance will receive requests for information regarding the system of records. Identifying information should be made by individual names, social security number, address, contract or agreement number, and program involved.

Record access procedures: To obtain information for obtaining access to the system of records, write to the system manager listed above.

Contesting record procedures: Use the same procedures as for records access.

Record source categories: Participants voluntarily ask for Federal financial cost-share assistance to apply needed conservation treatment or practices to lands owned or operated by the individual particpant. Such cost-sharing data is needed for Federal income tax information as it applies to the year and income of the participant using the programs.

Title 7-Agriculture

Subtitle A-Office of the Secretary of Agriculture

PART 1—ADMINISTRATIVE REGULATIONS 4

Subpart A—Official Records

Sec.

Subpart G—Privacy Act Regulations

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Appendix A—Internal Directives

Authority: 5 U.S.C. 301, unless otherwise noted.

Subpart A—Official Records

Authority: 5 U.S.C. 301, 552.

Source: 40 FR 7341, Feb. 19, 1975, unless otherwise noted.

Subpart G—Privacy Act Regulations

Authority: 5 U.S.C. 552a.

Source: 40 FR 39519, Aug. 28, 1975, unless otherwise noted.

§ 1.110 Purpose and scope.

This subpart contains the regulations of the U.S. Department of Agriculture (USDA) implementing the Privacy Act of 1974 (5 U.S.C. 552a). It sets forth the basic responsibilities of each agency of USDA with regard to USDA's compliance with the requirements of the Act, and offers guidance to members of the public who wish to exercise any of the rights established by the Act with regard to records maintained by an agency of USDA.

§ 1.111 Definitions.

For purposes of this subpart the terms "individual," "maintain," "record," "system of records," "statistical record," and "routine use" shall have the meanings set forth in 5 U.S.C. 552a(a). The term "agency" shall mean an agency of USDA, unless otherwise indicated.

§ 1.112 Procedures for requests pertaining to individual records in a record system.

(a) Any individual who wishes to be notified if a system of records maintained by an agency contains any record pertaining to him, or to request access to such records, shall submit a written request in accordance with the instructions set forth in the system notice for that system of records. This request shall include:

(1) The name of the individual making the request;

(2) The name of the system of records (as set forth in the system notice to which the request relates);

(3) Any other information specified in the system notice; and

(4) When the request is one for access, a statement as to whether the requester desires to make a personal inspection of the records, or be supplied with copies by mail.

(b) Any individual whose request under paragraph (a) of this section is denied may appeal that denial to the head of the agency which maintains the system of records to which the request relates.

(c) In the event that an appeal under paragraph (b) of this section is denied, the requester may bring a civil action in federal district court to seek review of the denial.

§ 1.113 Times, places, and requirements for identification of individuals making requests.

(a) If an individual submitting a request for access under § 1.112 has asked that an agency authorize a personal inspection of records pertaining to him, and the agency has granted that request, the requester shall present himself at the time and place specified in the agency's response or arrange another, mutually convenient, time with the appropriate agency official.

(b) Prior to inspection of the records, the requester shall present sufficient identification (e.g., driver's license, employee identification card, social security card, credit cards) to establish that he is the individual to whom the records pertain. If the requester is unable to provide such identification, he shall complete and sign in the presence of an agency official a signed statement asserting his identity and stipulating that he understands that knowingly or willfully seeking or obtaining access to records about another individual under false pretenses is a misdemeanor punishable by fine up to $5,000. No identification shall be required, however, when the records are ones whose disclosure is required by 5 U.S.C. 552.

(c) Any individual who has requested access to records about him via personal inspection, and who wishes to have another person or persons accompany him during this inspection, shall submit a written statement authorizing disclosure of the record in their presence.

(d) Any individual having made a personal inspection of records pertaining to him may request the agency to provide him copies of those records or any portion thereof. Each agency shall grant such requests but may charge fees in accordance with § 1.120.

(e) If an individual submitting a request for access under § 1.112 wishes to be supplied with copies of the records by mail, he shall include with his request sufficient data for the agency to verify his identity. If the sensitivity of the records warrant it, however, the agency to which the request is directed may require the requester to submit a signed, notarized statement indicating that he is the individual to whom the records pertain and stipulating he understands that knowingly or willfully seeking or obtaining access to records about another individual under false pretenses is a misdemeanor punishable by fine up to $5,000. No identification shall be required, however, when the records are ones whose disclosure is required by 5 U.S.C. 552. If the agency to which this request is directed determines to grant the requested access, it may charge fees in accordance with § 1.120 before making the necessary copies.

§ 1.114 Disclosure of requested information to individuals.

(a) Any agency which receives a request or appeal under § 1.112 should acknowledge the request or appeal within 10 days of its receipt (excluding Saturdays, Sundays, and legal public holidays). Wherever practicable, the acknowledgment should indicate whether or not access will be granted and, if so, when and where. When access is to be granted, the agency should provide the access within 30 days of receipt of the request or appeal (excluding Saturdays, Sundays and legal public holidays) unless, for good cause shown, it is unable to do so. If the agency is unable to meet this deadline, it shall inform the requester of this fact, the reasons for its inability to do so, and an estimate of the date on which access will be granted.

(b) Nothing in 5 U.S.C. 552a or this subpart shall be interpreted to require that an individual making a request under § 1.112 be granted access to the physical record itself. The form in which a record is kept (e.g., on magnetic tape), or the content of the record (e.g., a record indexed under the name of the requester may contain records which are not about the requester) may require that the record be edited or translated in some manner. Neither of these procedures may be utilized, however, to withhold information in a record about the requester.

(c) No agency shall deny any request under § 1.112 for information concerning the existence of records about the requester in any system of records it maintains, or deny any request for access to records about the requester in any system of records it maintains, unless that system is exempted from the requirements of 5 U.S.C. 552a(d) in § 1.123.

(d) If any agency receives a request pursuant to § 1.112(a) for access to records in a system of records it maintains which is so exempted, the system manager shall determine if the exemption is to be asserted. If he determines to deny the request, he shall inform the requester of that determination, the reason for the determination, and the title and address of the agency head to whom the denial can be appealed.

(e) If the head of an agency determines that an appeal pursuant to § 1.112(b) is to be denied, he shall inform the requester of that determination, the reason therefor, and his right under 5 U.S.C. 552a(g) to seek judicial review of the denial in federal district court.

(f) Nothing in 5 U.S.C. 552a or this subpart shall allow an individual access to any information compiled in reasonable anticipation of a civil action or proceeding.

§ 1.115 Special procedures: medical records.

In the event an agency receives a request pursuant to § 1.112 for access to medical records (including psychological records) whose disclosure it determines would be harmful to the individual to whom they relate, it may refuse to disclose the records directly to the requester but shall transmit them to a doctor designated by that individual.

§ 1.116 Request for correction or amendment to record.

(a) Any individual who wishes to request correction or amendment of any record pertaining to him contained in a system of records maintained by an agency shall submit that request in writing in accordance with the instructions set forth in the system notice for that system of records. This request shall include:

(1) The name of the individual making the request;

(2) The name of the system of records (as set forth in the system notice to which the request relates);

(3) A description of the nature (e.g., modification, addition or deletion) and substance of the correction or amendment requested; and

(4) Any other information specified in the system notice.

(b) Any individual submitting a request pursuant to paragraph (a) of this section shall include sufficient information in support of that request to allow the agency to which it is addressed to apply the standards set forth in 5 U.S.C. 552(e) (1) and (5).

(c) Any individual whose request under paragraph (a) of this section is denied may appeal that denial to the head of the agency which maintains the system of records to which the request relates.

(d) In the event that an appeal under paragraph (c) of this section is denied, the requester may bring a civil action in federal district court to seek review of the denial.

§ 1.117 Agency review of request for correction or amendment of record.

(a) Any agency which receives a request for amendment or correction under § 1.116 shall acknowledge that request within 10 days of its receipt (excluding Saturdays, Sundays and legal public holidays). It shall also promptly, either:

(1) Make any correction, deletion or addition with regard to any portion of a record which the requester believes is not accurate, relevant, timely or complete; or

(2) Inform the requester of its refusal to amend the record in accordance with his request; the reason for the refusal; the procedures whereby he can appeal the refusal to the head of the agency; and the title and business address of that official. If the agency informs the requester of its determination within the 10-day deadline, a separate acknowledgement is not required.

(b) If an agency is unable to comply with either paragraphs (a)(1) or (2) of this section within 30 days of its receipt of a request for correction or amendment, (excluding Saturdays, Sundays and legal public holidays), it should inform the requester of that fact, the reasons therefor, and the approximate date on which a determination will be reached.

(c) In conducting its review of a request for correction or amendment, each agency shall be guided by the requirements of 5 U.S.C. 552a(e) (1) and (5).

(d) If an agency determines to grant all or any portion of a request for correction or amendment, it shall:

(1) Advise the individual of that determination;

(2) Make the requested correction or amendment; and

(3) Inform any person or agency outside USDA to whom the record has been disclosed, and where an accounting of that disclosure is maintained in accordance with 5 U.S.C. 552a(c), of the occurrence and substance of the correction or amendments.

(e) If an agency determines not to grant all or any portion of a request for correction or amendment, it shall:

(1) Comply with paragraph (d) of this section with regard to any correction or amendment which is made;

(2) Advise the requester of its determination and the reasons therefor;

(3) Inform the requester that he may appeal this determination to the head of the agency which maintains the system of records; and

(4) Describe the procedures for making such an appeal, including the title and business address of the official to whom the appeal is to be addressed.

(f) In the event that an agency receives a notice of correction or amendment to information in a record contained in a system of records which it maintains, it shall comply with paragraphs (d) (2) and (3) of this section in the same manner as if it had made the correction or amendment itself.

§ 1.118 Appeal of initial adverse agency determination on correction or amendment.

(a) Any individual whose request for correction or amendment under § 1.116 is denied, and who wishes to appeal that denial, shall address such appeal to the head of the agency which maintains the system of records to which the request relates, in accordance with the procedures set forth in the agency's initial denial of the request.

(b) The head of each agency shall make a final determination with regard to an appeal submitted under paragraph (a) of this section not later than 30 days (excluding Saturdays, Sundays, and legal public holidays) from the date on which the individual requests a review, unless, for good cause shown, the head of the agency extends this 30-day period and so notifies the requester, together with an estimate of the date on which a final determination will be made. Such extension should be utilized only in

exceptional circumstances and should not normally exceed 30 days. The delegation of authority set forth in this paragraph may not be redelegated.

(c) In conducting his review of an appeal submitted under paragraph (a) of this section, the head of an agency shall be guided by the requirements of 5 U.S.C. 552a(e) (1) and (5).

(d) If the head of an agency determines to grant all or any portion of an appeal submitted under paragraph (a) of this section, he shall inform the requester and the agency shall comply with the procedures set forth in § 1.117(d)(2) and (d)(3).

(e) If the head of an agency determines in accordance with paragraph (c) of this section not to grant all or any portion of an appeal submitted under paragraph (a) of this section, he shall inform the requester:

(1) Of this determination and the reasons therefore;

(2) Of the requester's right to file a concise statement of his reasons for disagreeing with the agency's decision;

(3) Of the procedures for filing such a statement of disagreement;

(4) That such statements of disagreements will be made available to anyone to whom the record is subsequently disclosed, together with (if the agency deems it appropriate) a brief statement by the agency summarizing its reasons for refusing to amend the record;

(5) That prior recipients of the disputed record will be provided with a copy of the statement of disagreement, together with (if the agency deems it appropriate) a brief statement of the agency's reasons for refusing to amend the record, to the extent that an accounting of disclosures is maintained under 5 U.S.C. 552a(c); and

(6) Of the requester's right to seek judicial review of the agency's determination in accordance with 5 U.S.C. 552a(g). The agency shall insure that any statements of disagreement submitted by a requester are handled in accordance with paragraphs (e) (4) and (5) of this section.

§ 1.119 Disclosure of record to person other than the individual to whom it pertains.

No agency shall disclose any record which is contained in a system of records it maintains, by any means of communication to any person, or to another agency outside USDA, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, unless the disclosure is authorized by one or more provisions of 5 U.S.C. 552a(b).

§ 1.120 Fees.

Any agency which provides copies of records pursuant to a request under this subpart may charge fees for the direct costs of producing such copies in accordance with Appendix A to Subpart A of this part. No agency, however, shall charge any fee for searches necessary to locate records. Nor shall an agency charge any fees for copies or searches, when the requester sought to make a personal inspection but was provided copies instead at the discretion of the agency.

§ 1.121 Penalties.

The criminal penalties which have been established for violations of the Privacy Act of 1974 are set forth in 5 U.S.C. 552a(i). These penalties are applicable to any officer or employee of an agency who commits any of the enumerated acts. These penalties also apply to contractors and employees of such contractors who enter into contracts with an agency of USDA on or after September 27, 1975, and who are considered to be employees of the agency within the meaning of 5 U.S.C. 552a(m).

§ 1.122 General exemptions. [Reserved]

§ 1.123 Specific exemptions.

Pursuant to 5 U.S.C. 552a(k), the systems of records (or portions thereof) maintained by agencies of USDA identified below are exempted from the provisions of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). The reasons for exempting each system are set out in the notice for that system published in the **Federal Register**.

Agricultural Stabilization and Conservation Service

EEO Complaints and Discrimination Investigation Reports, USDA/ASCS-14.

Investigation and Audit Reports, USDA/ASCS-20.

Producer Appeals, USDA/ASCS-23.

Animal and Plant Health Inspection Service

Meat and Poultry Inspection Program—Slaughter, Processing and Allied Industrial Compliance Records System, USDA/APHIS-1.

Plant Protection and Quarantine Programs—Regulatory Violations, USDA/APHIS-2.

Veterinary Services Programs—Records of Accredited Veterinarians, USDA/APHIS-3.

Veterinary Services Programs—Animal Quarantine Regulatory Actions, USDA/APHIS-4.

Veterinary Services Programs—Animal Welfare and Horse Protection Regulatory Actions, USDA/APHIS-5.

Farmers Home Administration

Credit Report File, USDA/FmHA-3.

Food and Nutrition Service

Civil Rights Complaints and Investigations, USDA/FNS-1.

Claims Against Food Stamp Recipients, USDA/FNS-3.

Investigations of Fraud, Theft, or Other Unlawful Activities of Individuals Involving Food Stamps, USDA/FNS-5.

Forest Service

Law Enforcement Investigation Records, USDA/FS-33

Office of the General Counsel

Animal and Plant Health Inspection Division

Cases by the Department under the Federal Meat Inspection Act, the Poultry Products Inspection Act, and the voluntary inspection and certification provisions of the Agricultural Marketing Act of 1946, USDA/OGC-8.

Cases by the Department under the Horse Protection Act of 1970, USDA/OGC-9.

Cases by the Department under the Humane Methods of Livestock Slaughter law (i.e., the Act of August 27, 1958), USDA/OGC-10.

Cases by the Department under the Laboratory Animal Welfare Act, USDA/OGC-11.

Cases by the Department under the 28 Hour Law, as amended, USDA/OGC-12.

Cases by the Department under the various Animal Quarantine and related laws, USDA/OGC-13.

Cases by the Department under the various Plant Protection and Quarantine and related laws, USDA/OGC-14.

Community Development Division

Community Development Division Litigation, USDA/OGC-15.

Farmers Home Administration (FmHA) General Case Files, USDA/OGC-16.

Food and Nutrition Division

Claims by and against USDA Under the Food Assistance Legislation, USDA/OGC-17.

Perishable Agricultural Commodities, USDA/OGC-18.

Foreign Agriculture and Commodity Stabilization Division

Agricultural Stabilization and Conservation Service (ASCS), Foreign Agricultural Service (FAS), and Commodity Credit Corporation Cases, USDA/OGC-19.

Federal Crop Insurance Corporation (FCIC) Cases, USDA/OGC-20.

Marketing Division

Administrative proceedings brought by the Department pursuant to the Plant Variety Protection Act, the Federal Seed Act, or the Agricultural Marketing Act of 1946, USDA/OGC-22.

Cases brought by the Government pursuant to the Cotton Futures provisions of the Internal Revenue Code of 1954, USDA/OGC-26.

Court cases brought by the Government pursuant to either the Agricultural Marketing Act of 1946 or the Tobacco Inspection Act, USDA/OGC-28.

Court cases brought by the Government pursuant to either the Agricultural Marketing Agreement Act of 1937, as amended, or the Anti-Hog-Cholera Serum and Hog Cholera Virus Act, USDA–OGC–29.

Court cases brought by the Government pursuant to either the Cotton Research and Promotion Act, Potato Research and Promotion Act or the Egg Research and Consumer Information Act, USDA/OGC–30.

Court cases brought by the Government pursuant to either the Cotton Statistics and Estimates Act of 1927 or the United States Cotton Standards Act, USDA/OGC–31.

Court cases brought by the Government pursuant to either the Export Apple and Pear Act or the Export Grape and Plum Act, USDA/OGC–32.

Court cases brought by the Government pursuant to either the Naval Stores Act, the Honeybee Act, the Virus-Serum-Toxin Act or the Tobacco Seed and Plant Exportation Act, USDA/OGC–33.

Court cases brought by the Government pursuant to either the Peanut Statistics Act or the Tobacco Statistics Act, USDA/OGC–34.

Court cases brought by the Government pursuant to either the Plant Variety Protection Act or the Egg Products Inspection Act, USDA/OGC–35.

Court cases brought by the Government pursuant to either the Produce Agency Act, or the Process of Renovated Butter Provisions of the Internal Revenue Code of 1954, USDA/OGC–36.

Court cases brought by the Government pursuant to either the United States Grain Standards Act or the Federal Seed Act, USDA/OGC–37.

Court cases brought by the Government pursuant to the Agricultural Fair Practices Act, USDA/OGC–38.

Packers and Stockyards Division

Packers and Stockyards Act, Administrative Cases, USDA/OGC–67.

Packers and Stockyards Act, Civil and Criminal Cases, USDA/OGC–68.

Research and Operations Division

Personnel Irregularities, USDA/OGC–73.

Office of Investigation

Intelligence Records, USDA/OI–2.

Investigative Files and Subject/Title Index, USDA/OI–3.

Office of the Secretary

Non-Career Applicant File, USDA/SEC–1.

[40 FR 45103, Sept. 30, 1975, as amended at 41 FR 22333, June 3, 1976]

Appendix A—Internal Directives

Section 1 *General Requirements.* Each agency that maintains a system of records subject to 5 U.S.C. 552a and the regulations of this subpart shall:

(a) Maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or by executive order of the President;

(b) Collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs;

(c) Inform each individual whom it asks to supply information, on the form which it uses to collect the information, or on a separate form that can be retained by the individual:

(1) the authority (whether granted by statute, or by executive order of the President) which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary;

(2) the principal purpose or purposes for which the information is intended to be used;

(3) the routine uses which may be made of the information, as published pursuant to paragraph (d)(4) of this section; and

(4) the effects on him, if any, of not providing all or any part of the requested information;

(d) Subject to the provisions of section 2 of this Appendix, prepare for publication in the **Federal Register** at least annually a notice of the existence and character of each system it maintains, which notice shall include:

(1) the name and location(s) of the system;

(2) the categories of individuals on whom records are maintained in the system;

(3) the categories of records maintained in the system;

(4) each routine use of the records contained in the system, including the categories of uses and the purpose of such use;

(5) the policies and practices of the agency regarding storage, retrievability, access controls, retention, and disposal of the records;

(6) the title and business address of the agency official who is responsible for the system of records;

(7) the agency procedures whereby an individual can be notified at his request if the system of records contains a record pertaining to him;

(8) the agency procedures whereby an individual can be notified at his request how he can gain access to any record pertaining to him contained in the system of records, and how he can contest its content; and

(9) the categories of sources of records in the system;

(e) Maintain all records which are used by the agency in making any determination about any individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination;

(f) Prior to disseminating any record about an individual to any person other than an agency, unless the dissemination is made pursuant to 5 U.S.C. 552a(b)(2), make reasonable efforts to assure that such records are accurate, complete, timely, and relevant for agency purposes;

(g) Maintain no record describing how any individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained, or unless pertinent to and within the scope of an authorized law enforcement activity;

(h) Make reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record;

(i) Establish rules of conduct for persons involved in the design, development, operation, or maintenance of any system of records, or in maintaining any record, and instruct each such person with respect to such rules and the requirements of this section, including any other rules and procedures adopted pursuant to this section and the penalties for noncompliance;

(j) Establish appropriate administrative, technical, and physical safeguards to insure the security and confidentiality of records and to protect against any anticipated threats or hazards to their security or integrity which could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom information is maintained.

Sec. 2 *Amendment of routine uses for an existing system of records, or establishment of a new system of records.*

(a) Any agency which intends to add a routine use, or amend an existing one, in a system of records it maintains, shall, in accordance with 5 U.S.C. 552a(e)(11), insure that 30 days advance notice of such action is given by publication in the Federal Register and an opportunity provided for interested persons to submit written data, views or arguments to the agency.

(b) Any agency which intends to establish a new system of records, or to alter any existing system of records, shall insure that adequate advance notice is provided to Congress and the Office of Management and Budget to permit an evaluation of the probable or potential effect of such action on the privacy and other personal or property rights of individuals or the disclosure of information relating to such individuals, and its effect on the preservation of the constitutional principles of federalism and separation of powers. Such notice is required for any new system of records and for any alteration in an existing one which will:

(1) Increase the number or types of individuals on whom records are maintained;

(2) Expand the type or amount of information maintained;

(3) Increase the number or categories of agencies or other persons who may have access to those records;

(4) Alter the manner in which the records are organized so as to change the nature or scope of those records (e.g., the combining of two or more existing systems);

(5) Modify the way the system operates at its location(s) in such a manner as to alter the procedures which individuals can exercise their rights under this Subpart; or

(6) Change the equipment configuration on which the system is operated so as to create the potential for greater access (e.g., adding a telecommunications capability).

Sec. 3 *Accounting of Certain Disclosures.* Each agency, with respect to each system of records under its control, shall:

(a) Except for disclosures made under 5 U.S.C. 552a(b) (1) and (2), keep an accurate account of:

(1) the date, nature, and purpose of each disclosure of a record to any person or agency outside the Department; and

(2) the name and address of the person or agency to whom the disclosure is made;

(b) Retain the accounting made under paragraph (a) of this section for the longer of a period of five years, after the date of the disclosure for which the accounting is made, or the life of the record disclosed;

(c) Except for disclosures made under 5 U.S.C. 552a(b)(7), make the accounting above available to the individual named in the record at his request.

Sec. 4 *Government Contractors.* When an agency within the Department provides by a contract for the operation by or on behalf of the agency of a system of records to accomplish an agency function, the agency shall, consistent with its authority, cause the requirements of this Subpart to be applied to such system. For purposes of 5 U.S.C. 552a(i) any such contractor or any employee of such contractor, if such contract is agreed to on or after September 27, 1975, shall be considered to be an employee of an agency and therefore subject to the criminal penalties set forth in that section.

Sec. 5 *Mailing Lists.* No agency within the Department shall sell or rent any individual's name and address unless such action is specifically authorized by law. This section shall not be construed to require, or to authorize, the withholding of names and addresses whose disclosure is required by 5 U.S.C. 552.

Sec. 6 *Social security account numbers.* (a) No agency shall deny, or permit any State or local government with whom it is involved in a cooperative venture to deny, to any individual any right, benefit, or privilege provided by law because of such individual's refusal to disclose his social security account number.

(b) The provisions of paragraph (a) of this Section shall not apply with respect to:

(1) any disclosure required by Federal statute; or

(2) any disclosure to any agency relating to a system of records it maintained prior to January 1, 1975, if such disclosure was required under statute or regulation adopted prior to that date, to verify the identity of an individual.

(c) Any agency in the Department which requests an individual to disclose his social security account number shall inform that individual whether the disclosure is mandatory or voluntary, by what statutory or other authority the number is solicited, and what uses will be made of it. The agency shall also insure that this information is provided by a State or local government with whom it is involved in a cooperative agreement.

Sec. 7. *Annual report.* Each agency in the Department shall submit to the Office of the General Counsel prior to March 30 of each year (beginning March 30, 1976) a report containing the following information related to implementation of 5 U.S.C. 552a:

(a) a summary of major accomplishments;

(b) a summary of major plans for activities in the upcoming year;

(c) a list of the systems which were exempted during the year from any of the operative provisions of this Subpart pursuant to 5 U.S.C. 552a (j) and (k), whether or not the exemption was effected during that year, the number of instances with respect to each system exempted in which the exemption was invoked to deny access, and the reasons for invoking the exemption;

(d) a brief summary of changes to the total inventory of personal data system subject to this Subpart including reasons for major changes; and

(e) a general description of operational experiences including estimates of the number of individuals (in relation to the total number of records in the system):

(1) requesting information on the existence of records pertaining to them;

(2) refusing to provide information;

(3) requesting access to their records;

(4) appealing initial refusals to amend records; and

(5) seeking redress through the courts.

Sec. 8. *Effect of 5 U.S.C. 552.* No agency in the Department shall rely on any exemption in 5 U.S.C. 552 to withhold from an individual any record which is otherwise accessible to such individual under the provisions of 5 U.S.C. 552a and this Subpart.

[40 FR 44480, Sept. 26, 1975]

DEPARTMENT OF COMMERCE

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COMMERCE/DEPT-1

System name: Attendance, Leave, and Payroll Records of Employees and Certain Other Persons—COMMERCE/DEPT-1

System location: a. For employees of Departmental Offices, BEA, BIE, EDA, ITA, MBDA, USTS, Offices of Federal Cochairmen, RAPCs, and ARC: Office of Financial Operations, OS, U.S. Department of Commerce, 14th & Constitution Avenue, N.W., Washington, D.C. 20230.

b. For employees of NBS, NTIS, and NTIA: National Bureau of Standards, Office of the Comptroller, (Payroll Office). Administration Building, Washington, D.C. 20234. NTIA records dating prior to March 26, 1978, relating to employees of the former Office of Telecommunications Policy, Executive Office of the President, are located at General Services Administration Region 3 Office, 7th & D Streets, N.W., Washington, D.C. 20407.

c. For employees of NOAA: National Oceanic and Atomospheric Administration, Office of Finance, Personal Service Accounting Division, 11420 Rockville Pike, Rockville, Maryland 20852.

d. For employees of PAT-TM: Office of Finance (Employee Accounts Division), U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

e. For employees of CENSUS: Finance Division, Bureau of the Census, Federal Building 3, Washington, D.C. 20233, and the following Census Regional Offices: 1365 Peachtree Street, NE., Atlanta, Georgia 30309; 441 Stuart Street, Boston, Massachusetts 02116; 230 South Tryon Street, Charlotte, North Carolina 28202; 55 East Jackson Boulevard, Chicago, Illinois 60604; 1100 Commerce Street, Dallas, Texas 75242; 575 Union Boulevard (P.O. Box 25207), Denver, Colorado 80225; 231 W. Lafayette, Detroit, Michigan 48226; One Gateway Center, 4th and State Streets, Kansas City, Kansas 66101; 11777 San Vicente Boulevard, Los Angeles, California 90049; 26 Federal Plaza, New York City, New York 10278; 600 Arch Street, Philadelphia, Pennsylvania 19106; and 1700 Westlake Avenue, Seattle, Washington 98109.

Categories of individuals covered by the system: All Commerce Department employees and certain other persons as categorized by organizational component in a. through f. above.

Categories of records in the system: Name, date of birth, social security number and employee number, service computation date, grade, step, and salary; organization (code), retirement or FICA data as applicable; Federal, state, and local tax deductions, as appropriate; IRS tax lien data; savings bond and charity deductions; regular and optional Government life insurance deduction(s), health insurance deduction and plan or code; cash award data; jury duty data; military leave data; pay differentials; union dues deductions; allotments, by type and amount; financial institution code and employee account number, type of account; leave status and leave data of all types (including annual, compensatory, jury duty, maternity, military, retirement disability, sick, transferred, absence without leave, and without pay); time and attendance records, including number of regular, overtime, holiday, Sunday, and other hours worked; pay period number and ending date; cost of living allowances; mailing address; co-owner and/or beneficiary of bonds, marital status and number of dependents; and "Notification of Personnel Action". The individual records listed herein are included only as pertinent or applicable to the individual employee.

Authority for maintenance of the system: Title 5 U.S.C., Title 31 U.S.C. 66a, 492, Title 44 U.S.C. 3101, 3309.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Transmittal of data to U.S.

Treasury and employee-designated financial institutions to effect issuance of paycheck to employees and distribution of pay according to employee directions for savings bonds, allotments, alimony, child support, and other authorized purposes.

Reporting: tax withholdings to Internal Revenue Service and appropriate State and local taxing authorities; FICA deductions to the Social Security Administration; dues deductions to labor unions; withholdings for health and life insurance to the insurance carriers and the U.S. Office of Personnel Management; charity contribution deductions to agents of charitable institutions; annual W–2 statements to taxing authorities and the individual; wage, employment, and separation information to state unemployment compensation agencies, to the Department of Labor to determine eligibility for unemployment compensation, and to housing authorities for low-cost housing applications; and NOAA Corps data to U.S. Office of Personnel Management for preparation of statistical materials. Also, see routine use paragraphs 1–5 and 8–13 of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Both manual and machine-readable.

Retrievability: By name and/or employee or social security number.

Safeguards: Physical, technical and administrative security is maintained, with all storage equipment and/or rooms locked when not in use. Admittance, when open, is restricted to authorized personnel only. All payroll personnel and computer operators and programmers are instructed and cautioned on the confidentiality of the records.

Retention and disposal: Retained on site until after GAO audit, then disposed of, or transferred either to Federal Records Storage Centers in accordance with the fiscal records program approval by GAO, as appropriate, or general Record Schedules of GSA.

System manager(s) and address: For records at location a.: Director, Office of Financial Operations, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b: Comptroller, Office of the Comptroller, National Bureau of Standards, Administration Building, Washington, D.C. 20234.

For records at location c.: Chief Personnel Service Accounting Division, Office of Finance, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852;

For records at location d.: Director, Office of Finance, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location e.: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233, and the Director of the particular Regional Office listed above.

Notification procedure: For BEA records at location a., information may be obtained from: Chief, Management and Organization Branch, BEA, Tower Building, 1401 K Street, N.W., Washington, D.C. 20230.

For BIE records at location a., information may be obtained from: Administrative Officer, BIE, Room 4845, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

For ITA records at location a., information may be obtained from: Director, Office of Management and Systems, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

For EDA records at location a., information may be obtained from: Director, Office of Public Affairs, EDA, U.S. Department of Commerce, Washington, D.C. 20230.

For MBDA records at location a., information may be obtained from: Privacy Officer, Office of Chief Counsel, MBDA, U.S. Department of Commerce, Washington, D.C. 20230.

For USTS records at location a., information may be obtained from: Director, Office of Administration, USTS, U.S. Department of Commerce, Washington, D.C. 20230; and

For all other records at location a., information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

For NBS and NTIS records at location b., information may be obtained from: Deputy Director for Information Systems, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

For NTIA records at location b., information may be obtained from: Privacy Officer, NTIA, U.S. Department of Commerce, Washington, D.C. 20504;

For records at location c., information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852;

For records at location d., information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231; and

For records at location e., information may be obtained from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Requester should provide name, social security number, and time or organization unit of employment pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address of the desired location as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address for desired location.

Record source categories:

Subject individuals, those authorized by the individual to furnish information, supervisors, timekeepers, official personnel records, and IRS.

COMMERCE/DEPT–2

System name: Accounts Receivable—COMMERCE/DEPT–2.

System location: a. For Departmental offices, BEA, BIE, ITA, USTS, MBDA, Offices of Federal Cochairmen, RAPCs, and ARC: Office of Financial Operations, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

b. For NBS and NTIA: National Bureau of Standards, Office of the Comptroller, Administration Building, Washington, D.C. 20234.

c. For NOAA: Office of Finance, National Oceanic and Atmospheric Administration, 11420 Rockville Pike, Rockville, Maryland 20852.

d. For PAT–TM: Office of Finance, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

e. For CENSUS: Finance Division, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

f. For NTIS: Accounting Division, National Technical Information Service, Springfield, Virginia 22161.

g. For EDA: Accounting Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Categories of individuals covered by the system: Debtors owing money to organizational components identified in a through g including employees, former employees, business firms, general public, and institutions.

Categories of records in the system: Name and address; amount owed, and service, overpayment or other accounting therefor, invoice number, if any.

Authority for maintenance of the system: 5 U.S.C. 5701–09; 31 U.S.C. 951–953, 4 CFR Sec. 102.4, FPMR 101–7; Treasury Fiscal Requirements Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Billing debtors, reporting delinquent debts to credit bureaus, reporting to Office of Personnel Management for liquidating debts from retirement and other benefits, and routine uses 1–5 and 8–13 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Both manual and machine-readable records.

Retrievability: By name, and invoice number as appropriate.

Safeguards: Physical security, handling by authorized personnel only.

Retention and disposal: Retained until payment is received and account is audited, then disposed of in accordance with Records Control Schedule.

System manager(s) and address: For records at location a.: Director, Office of Financial Operations, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b.: Comptroller, Office of the Comptroller, National Bureau of Standards, Administration Building, Washington, D.C. 20234.

For records at location c.: Director, Office of Finance, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852.

For records at location e.: Director, Office of Finance, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location e.: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location f.: Chief, Accounting Division, National Technical Information Service, Springfield, Virginia 22161.

For records at location g.: Chief, Accounting Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Notification procedure: For BIE records at location a., information may be obtained from: Administrative Officer, BIE, Room 4845, 14th and Constitution Avenue, N.W., Washington, D.C. 20230;

For ITA records at location a., information may be obtained from: Director, Office of Management and Systems, ITA, U.S. Department of Commerce, Washington, D.C. 20230;

For USTS records at location a., information may be obtained from: Director, Office of Administration, USTS, U.S. Department of Commerce, Washington, D.C. 20230; and

For all other records at location a., information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

For NBS records at location b., information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234;

For NTIA records at location b., information may be obtained from: Privacy Officer, NTIA, U.S. Department of Commerce, Washington, D.C. 20504;

For records at location c., information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852.

For records at location d., information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231; and

For records at location e., information may be obtained from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location f., information may be obtained from: Associate Director for Financial and Administrative Management, National Technical Information Service, Springfield, Virginia 22161.

For records at location g., information may be obtained from: Director, Office of Public Affairs, EDA, U.S. Department of Commerce, Washington, D.C. 20230.

Requester should provide name and address, and invoice number as appropriate, pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, those authorized by the individual to furnish information, contracting officer as appropriate, accounting records.

COMMERCE/DEPT-3

System name:

Conflict of Interest Records, Appointed Officials—COMMERCE/DEPT-3.

System location:

Office of General Counsel, Room 5870, U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system:

Individuals, past and present, appointed by the President to Commerce Department offices and other senior level officers of the Department.

Categories of records in the system:

Statements of personal and family shareholdings and other interests in business enterprises; copies of blind trust and other agreements pertaining to such interests; correspondence as to insulation of control of such interests; opinions of counsel; and confirmation materials.

Authority for maintenance of the system:

5 U.S.C. 301, 18 U.S.C. 208, 28 U.S.C. 533–535, 44 U.S.C. 3101, E.O. 10450, and E.O. 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs of Prefatory Statement, except paragraphs 6, 8, and 10.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Disposed of 2 years after separation of employee.

System manager(s) and address:

Deputy General Counsel, Room 5870, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure:

Information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name and date of appointment pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

The subject individual, financial institutions involved, counsel, and those authorized by the individual to furnish information.

Systems exempted from certain provisions of the act:

Pursuant to 5 U.S.C. 552a (k)(5), all investigatory material in the record which meets the criteria of 5 U.S.C. 552a(k)(5) is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine suitability for employment.

COMMERCE/DEPT-4

System name:

Congressional Files—COMMERCE/DEPT-4.

System location:

a. Office of the Assistant Secretary for Congressional Affairs, U.S. Department of Commerce, 14th and Constitution Avenue, NW., Washington, D.C. 20230.

b. Office of the Director of Congressional and Public Affairs, National Telecommunications and Information Administration, 1800 G Street, NW., Washington, D.C. 20504.

Categories of individuals covered by the system:

Members of Congress.

Categories of records in the system:

Biographical information from sources such as the Congressional Quarterly, Almanac of American Politics, Congressional Directory, biographies provided by Members' Offices, extracts from the Congressional Record, and correspondence between the Members and the Department.

Authority for maintenance of the system:

5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs 1–5, 8, 10, and 12 of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in paper form only.

Retrievability:

Indexed by name of Member or State or Congressional District.

Safeguards:

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

The records are retained in accordance with the Office's Record Control Schedule.

System manager(s) and address:

For records at location a.: Assistant Secretary for Congressional Affairs, U.S. Department of Commerce, 14th and Constitution Avenue, NW., Washington, D.C. 20230.

For records at location b.: Director of Congressional and Public Affairs, National Telecommunications and Information Administration, U.S. Department of Commerce, 1800 G Street, NW., Washington, D.C. 20504.

Notification procedure:

For records at location a.: Information may be obtained from: Departmental Office of Organization and Management Systems, OS, U.S. Department of Commerce, 14th and Constitution Avenue, NW., Washington, D.C. 20230.

For records at location b.: Information may be obtained from: Privacy Officer, National Telecommunications and Information Administration, U.S. Department of Commerce, 1800 G Street, NW., Washington, D.C. 20504. Requester should provide name of Member pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Published Congressional reference materials and the Member, himself or herself.

COMMERCE/DEPT-5.

System name:

Freedom of Information and Privacy Request Records—COMMERCE/DEPT-5.

System location:

a. For FOIA request records of CENSUS: Planning and Security Office, Bureau of the Census, Federal Building 3, Suitland, Md. 20233.

b. For FOIA and PA request records of ITA: Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230.

c. For FOIA and PA requests for EDA Office of Public Affairs, U.S. Department of Commerce, Washington, D.C. 20230.

For FOIA request records of NOAA: Freedom of Information Request Control Desk, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Md. 20852.

e. For FOIA request records of NTIA: Freedom of Information Request Control Desk, National Telecommunications and Information Administration, 1800 G Street, N.W., Washington, D.C. 20504.

f. For PA request records of the Office of the Secretary: Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system:

Individuals who have requested records under the Freedom of Information and/or Privacy Acts contained in files maintained by the organizational units shown in the System Location paragraph above.

Categories of records in the system:

Incoming requests; correspondence developed during processing of requests; initial and final determination letters; records summarizing pertinent facts about requests and action taken; copy or description of records released; description of records denied (copies of records denied are not kept with these files).

Authority for maintenance of the system:

5 U.S.C. 301, 5 U.S.C. 552, 5 U.S.C. 552a and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Department management and legal personnel to assure that each request receives an appropriate reply and to compile data for the required annual reports on activities under the Acts. General routine uses of the 1-5, 9, 12, and 13 of the Prefatory Statement also apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

At all locations: Paper records in file folders or loose-leaf binders.

Retrievability:

At location b.: By control number assigned to each request based on date of receipt.

At all other locations: Alphabetically by name of requester.

Safeguards:

At all locations: Privacy Act request records are stored in file cabinets in secured premises with access limited to those whose official duties require access. Freedom of Information request records are generally available to the public.

Retention and disposal:

Records are disposed of in accordance with the appropriate records disposition authorization approved by the Archivist of the United States.

System manager(s) and address: For records at location a.: Associate Director for Administration, Bureau of the Census.

For records at location b.: Privacy Act Officer, ITA.

For records at location c.: Director, Office of Public Affairs, EDA.

For records at location d.: Assistant administrator for Management and Budget, NOAA.

For records at location e.: Director, Office of Administration, NTIA.

For records at location f.: Director, Office of Organization and Management Systems, U.S. Department of Commerce.

For each system manager, use the same address as shown for that unit in the System Location section above.

Notification procedure:

For records at locations a., b., c., d., and f.: Same individual and address for each as shown in System Manager section above.

For records at location e.: Privacy Officer, NTIA, same address as shown in System Manager section above.

Requestor should provide name and address pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to same address as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

The individual making the request, and records derived from the processing of Freedom of Information and Privacy Act requests.

COMMERCE/DEPT-6.

System name:

Visitor Logs and Permits for Facilities Under Department Control—COMMERCE/DEPT-6.

System location:

National Bureau of Standards: Security Office, Administration Building, Washington, D.C. 20234; and Physical Security Office, Radio Building, NBS, Boulder, Colorado 80302.

Categories of individuals covered by the system:

Non-Federal visitors, Federal personnel entering facilities after duty hours, and employees seeking parking and firearm permits.

Categories of records in the system:

Name, address, place of birth, citizenship, physical characteristics, type and number of firearms and amount of ammunition, purpose of visit, affiliation, time in and time out, license numbers, and records of violations.

Authority for maintenance of the system:

5 U.S.C. 301; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs 1-5 and 8-13 of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Retrievability:

Filed alphabetically by name, or date and time.

Safeguards:

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Retained on site for five years, then disposed of in accordance with unit's Record Control Schedule.

System manager(s) and address:

Security Officer, National Bureau of Standards, Washington, D.C. 20234.

Notification procedure:

Information may be obtained from Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

Requesters should provide name and address, date of visit or type of permit, as appropriate, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, those authorized by the individual to furnish information, and employers.

COMMERCE/DEPT-7

System name:

Employee Accident Reports—COMMERCE/DEPT-7.

System location:

a. For employees of Departmental Offices, BEA, BIE, and USTS: Office of Administrative Services, U.S. Department of Commerce, Washington, D.C. 20230.

b. For employees of ITA: Office of Administrative Support, International Trade Administration, Washington, D.C. 20230.

c. For employees of EDA: Office Service Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, NW., Washington, D.C. 20230.

d. For employees of MBDA: Office of Planning, Budget and Evaluation, Minority Business Development Agency, Washington, D.C. 20230.

e. For employees of NBS: Occupational Health and Safety Division, Supply and Plant Building, NBS, Washington, D.C. 20234.

f. For employees of NOAA: Office of Administrative Operations, National Oceanic and Atomospheric Administration, 6010 Executive Blvd., Rockville, Md. 20852.

g. For employees of NTIS: Facilities Management Division, National Technical Information Service, Springfield. Va. 22161.

h. For employees of PAT-TM: Office of General Services, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

i. For employees of CENSUS: Administrative Service Division, Bureau of the Census, Building 4, Washington, D.C. 20233.

j. For employees of NTIA: Office of Administration, National Telecommunications and Information Administration, 1800 G Street, NW., Washington, D.C. 20504.

Categories of individuals covered by the system:

All Department employees as categorized by organization component in a through j above, who have sustained occupational injury/illness or who have been involved in a motor vehicle accident while on official Government business,

Categories of records in the system:

Name; address; home telephone number; date and place of birth; sex; social security number; occupation; grade; location and description of accident or injury; driving permit or license data; physical condition at time of incident; insurance information; vehicle ownership and licensing data.

Authority for maintenance of the system:

29 U.S.C. 651-78, 28 U.S.C. 2671-2680, Executive Order 12196.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs of Prefatory Statement. Also, accident reports involving Government vehicles are disclosed to the General Services Administration, the custodian of Government vehicles; accident information may also be disclosed to insurance carriers during resolution of claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are located in lockable metal file cabinets with access limited to those whose official duties require access.

Retention and disposal:

Disposed after 5 years.

System manager(s) and address:

For records at location a: Coordinator for Occupational Safety and Health and Motor Management, Departmental Office of Administrative Services, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b.: Director, Office of Administrative Support, International Trade Administration, Washington, D.C. 20230.

For records at location c.: Chief, Office Service Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, NW., Washington, D.C. 20230.

d. For records at location: Assistant Director, Office of Planning, Budget, and Evaluation, Minority Business Development Agency, Washington, D.C. 20230.

e. For records at location: Safety and Health Manager, Supply and Plant Building, NBS, Washington, D.C. 20234.

f. For records at location: Safety Engineer, Office of Administrative Operations, National Oceanic and Atmospheric Administration, Rockville, Md. 20852.

g. For records at location: Chief, Facilities Management Division, National Technical Information Service, Springfield, Va. 22161.

h. For records at location: Director, Office of General Services, U.S. Patent and Trademark Office, Washington, D.C. 20231.

i. For records at location: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

j. For records at location: Safety Officer, Office of Administration, National Telecommunications and Information Administration, 1800 G Street, NW., U.S. Department of Commerce, Washington, D.C. 20504.

Notification procedure:

For Departmental office records at location a., information may be obtained from: Director, Office of Organization and Management Systems, OS, U.S. Department of Commerce, Washington D.C. 20230;

For BEA records at location a., information may be obtained from: Chief, Management and Organization Branch of Administration, BEA, Tower Building, 1401 K Street, NW., Washington D.C. 20230;

For BIE records at location a., information may be obtained from: Administrative Officer, BIE Room 4845, 14th & Constitution Avenue, NW., Washington D.C. 20230;

For USTS records at location a., information may be obtain from: Director, Office of Administration, United States Travel Service, Washington D.C. 20230.

For records at location b., information may be obtain from: Privacy Act Officer, Office of Management and Systems, International Trade Administration, Room 3102, U.S. Department of Commerce, Washington D.C. 20230;

For records at location c., information may be obtain from: Director, Office of Public Affairs, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, NW., Washington D.C. 20230.

For records at location d., information may be obtain from: Privacy Officer, Office of Chief Counsel, Minority Business Development Agency, Washington D.C. 20230;

For records at location e., information may be obtain from: Deputy Director of Administration Room A1105, Administration Building, National Bureau of Standards, Washington D.C. 20234;

For records at location f., information may be obtain from: Assistant Administrator for Management and Budget, National Oceanic and Atomspheric Administration, Rockville, Md. 20852;

For records at location g., information may be obtain from: Associate Director for Financial and Administrative Management, National Technical Information Service, Springfield, VA 22161;

For records at location h., information may be obtain from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington D.C. 20231;

For records at location i., information may be obtain from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington D.C. 20233;

For records at location j., information may be obtain from: Privacy Officer, National Telecommunications and Information Administration, 1800 G Street, NW., U.S. Department of Commerce, Washington D.C. 20504.

Requester should provide name and approximate date of accident pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address of the desired location as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address for desired location.

Record source categories:

Subject individual, those authorized by the individual to furnish information; others involved in accident; witnesses; employee's supervisor; and, the safety officer.

COMMERCE/DEPT–8.

System name:

Employee Applications for Motor Vehicle Operator's Card—COMMERCE/DEPT–8.

System location: a. For employees of Departmental offices, BEA, BIE, MBDA, NTIA, offices of Federal Cochairmen, and USTS: Office of Administrative Services, U.S. Department of Commerce, Washington, D.C. 20230

b. For employees of ITA: Office of Administrative Support, International Trade Administration, Washington, D.C. 20230.

c. For employees of EDA: Office Service Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

d. For employees of NBS and NTIS: Occupational Health and Safety Division, Supply and Plant Building, Washington, D.C. 20234; and Staff Services Office, Radio Building, NBS, Boulder, Colorado 80302.

e. For employees of NOAA: Office of Administrative Operations, National Oceanic and Atmospheric Administration, Rockville, Md. 20852.

f. For employees of PAT–TM: Office of General Services, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

g. For employees of CENSUS: Administrative Service Division, Bureau of the Census, Federal Building 4, Washington, D.C. 20233; and the following Census Regional Offices: 1365 Peachtree Street, NE., Atlanta, Georgia 30309; 441 Stuart Street, Boston, Massachusetts 02116; 230 South Tryon Street, Charlotte, North Carolina 28202; 55 East Jackson Boulevard, Chicago, Illinois 60604; 1100 Commerce Street, Dallas, Texas 75242; 575 Union Boulevard (P.O. Box 25207), Denver, Colorado 80225; 231 W. Lafayette, Detroit, Michigan 48226; One Gateway Center, 4th and State Streets, Kansas City, Kansas 66101; 11777 San Vicente Boulevard, Los Angeles, California 90049; 26 Federal Plaza, New York City, New York 10278, 600 Arch Street, Philadelphia, Pennsylvania 19106; and 1700 Westlake Avenue, Seattle, Washington 98109.

Categories of individuals covered by the system: All Department employees as categorized by organizational components in a through g above, who are seeking or holding a Federal vehicle operator permit.

Categories of records in the system: Name; position title; date and place of birth; physical characteristics; social security number, summary of driving record, including all arrests, traffic citations and accidents for the past five years; hearing and visual acuity examination report; road test results; and medical history.

Authority for maintenance of the system: 40 U.S.C. 471; E.O. 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1–6 and 9–13 in the Prefatory Statement. Also, information is transmitted to the Department of Transportation with request for suitability check.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards:

Records are located in lockable metal file cabinets with access limited to those whose official duties require access.

Retention and disposal: Disposed of when re-issued at the end of three years or upon employee's termination of employment.

System manager(s) and address: For records at location a.: Coordinator for Occupational Safety and Health and Motor Management, Departmental Office of Administrative Services, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b.: Director, Office of Administrative Support, International Trade Administration, Washington, D.C. 20230.

For records at location c.: Chief, Office Service Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

For records at location d.: Safety and Health Manager, Supply and Plant Building, National Bureau of Standards, Washington, D.C. 20234; and Safety Engineer, Radio Building, NBS, Boulder, Colorado 80302.

For records at location e.: Motor Fleet Manager, Office of Administrative Operations, National Oceanic and Atmospheric Administration, Rockville, Md. 20852.

For records at location f.: Director, Office of General Services, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location g.: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Notification procedure:

For BEA records at location a., information may be obtained from: Chief, Management and Organization Branch BEA, Tower Building, 1401 K Street, N.W., Washington, D.C. 20230;

For BIE records at location a., information may be obtained from: Administrative Officer, BIE, Room 4845, 14th & Constitution Avenue, N.W., Washington, D.C. 20230;

For MBDA records at location a., information may be obtained from: Privacy Officer, Office of Chief Counsel MBDA, U.S. Department of Commerce, Washington, D.C. 20230;

For NTIA records at location a., information may be obtained from: Privacy Officer, NTIA, U.S. Department of Commerce, Washington, D.C. 20504;

For USTS records at location a., information may be obtained from: Director, Office of Administration, USTS, U.S. Department of Commerce, Washington, D.C. 20230; and

For all other records at location a., information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b., information may be obtained from: Privacy Act Officer, Office of Management and Systems, International Trade Administration, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location c., information may be obtained from: Director, Office of Public Affairs, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

For records at location d., information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

For records at location e., information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

For records at location f., information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location g., information may be obtained from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Requester should provide name, organizational unit, and approximate date of employment pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address of the desired location as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, those authorized by the individual to furnish information, motor vehicle departments in individual's state, and National Driver Register of the Department of Transportation.

COMMERCE/DEPT–9

System name: Travel Records (Domestic and Foreign) of Employees and Certain Other Persons—COMMERCE/DEPT–9.

System location: a. For employees of Departmental Offices, BEA, BIE, ITA, MBDA, USTS, Offices of Federal Cochairmen, and RAPCs; members of DOC Advisory Committees; employees and certain other persons associated with ARC; and private citizens invited to visit the Department:

Office of Financial Operations, OS, Main Commerce Building, Washington, D.C. 20230.

b. For employees of NBS and NTIA: Office of the Comptroller, National Bureau of Standards, Administration Building, Washington, D.C. 20234.

c. For employees of NOAA: Chief, Travel and Transportation Management Branch, Property and Logistics Support Division, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852 and the following Field Finance Offices: Research Building 3, 3100 Marine Street, Boulder, Colo. 80302; Room 1760, 601 E. 12th Street, Kansas City, Mo. 64106; 75 Virginia Beach Drive, Building 2, Miami, Fla. 33149; and, North Bethesda Office Center, 11420 Rockville Pike, Rockville, Maryland 20852.

d. For employees of PAT-TM: Office of General Services, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

e. For employees of CENSUS: Finance Division, Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and the following Regional Offices for intermittent CENSUS employees: 1365 Peachtree Street, N.E., Atlanta, Georgia 30309; 441 Stuart Street, Boston, Massachusetts 02116; 230 South Tryon Street, Charlotte, North Carolina 28202; 55 East Jackson Boulevard, Chicago, Illinois 60604; 1100 Commerce Street, Dallas, Texas 75242; 575 Union Boulevard (P.O. Box 25207), Denver, Colorado 80225; 231 W. Lafayette, Detroit, Michigan 48226; One Gateway Center, 4th and State Streets, Kansas City, Kansas 66101; 11777 San Vicente Boulevard, Los Angeles, California 90049; 26 Federal Plaza, New York City, New York 10278; 600 Arch Street, Philadelphia, Pennsylvania 19106; and 1700 Westlake Avenue, Seattle, Washington 98109.

f. For employees of EDA: Accounting Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Categories of individuals covered by the system: Employees, Advisory Committee Members, State Representatives of ARC, and official guests of the Department.

Categories of records in the system: Name, address, social security number; destination, itinerary, mode and purpose of travel; dates; expenses including amounts advanced (if any), amounts claimed, and amounts reimbursed; travel orders, travel vouchers, receipts, and passport record card.

Authority for maintenance of the system: Budget and Accounting Act of 1921; Accounting and Auditing Act of 1950; and Federal Claim Collection Act of 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Transmittal to U.S. Treasury for payment, to State Department for passports, and see paragraphs 1-5 and 9-13 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual and machine-readable.

Retrievability: Filed by name, social security number, or travel order number.

Safeguards: Records are located in lockable metal file cabinets or in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: Retained according to GSA Federal Travel Regulations, and then disposed of according to unit's Records Control Schedule.

System manager(s) and address: For records at location a., Director, Office of Financial Operations, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b. Comptroller, Office of the Comptroller, National Bureau of Standards, Administration Building, Washington, D.C. 20234.

For records at location c. Chief, Travel and Transportation Division, Office of Administrative Operations, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852 and the Chief of the particular Field Finance Office listed above.

For records at location d. Director, Office of General Services, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location e. Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and the Director of the particular Regional Office listed above.

For records at location f. Chief, Accounting Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Notification procedure: For BEA records at location a., information may be obtained from: Chief, Management and Organization Branch, BEA, Tower Building, 1401 K Street, N.W., Washington, D.C. 20230;

For BIE records at location a., information may be obtained from: Administrative Officer, BIE, Room 4845, 14th & Constitution Avenue, N.W., Washington, D.C. 20230;

For ITA records at location a., information may be obtained from: Director, Office of Management and Systems, ITA, U.S. Department of Commerce, Washington, D.C. 20230;

For MBDA records at location a., information may be obtained from: Privacy Officer, Office of Chief Counsel, MBDA, U.S. Department of Commerce, Washington, D.C. 20230;

For USTS records at location a., information may be obtained from: Director, Office of Administration, USTS, U.S. Department of Commerce, Washington, D.C. 20230; and

For all other records at location a., information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

For NBS records at location b. information can be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

For NTIA records at location b. information may be obtained from: Privacy Officer, NTIA, U.S. Department of Commerce, Washington, D.C. 20504.

For records at location c. information can be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852.

For records at location d. information can be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C.20231.

For records at location e. information can be obtained from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location f. information may be obtained from: Director, Office of Public Affairs, EDA, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Requester should provide name, travel order number, if known, and date of travel, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, those authorized by the individual to furnish information, supervisors, and finance (or accounting) office standard references.

COMMERCE/DEPT-10

System name:

Executive Correspondence Files—COMMERCE/DEPT-10.

System location: a. For Office of the Secretary correspondence: Executive Secretariat and Office of Information Management (Computer Services Division); U.S. Department of Commerce; 14th & Constitution Avenue, N.W., Washington, D.C. 20230.

b. For EDA correspondence: Executive Secretariat, EDA, Room 7227, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

c. For MBDA correspondence: MBDA Secretariat., Room 5083, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

d. For NOAA correspondence: Executive Secretariat, Office of the Administrator, NOAA, Room 5807, 14th and Constitution Avenue, N.W., Washington, D.C. 20230. Records on magnetic tape are also temporarily located at the contractor's installation: Dialcom Inc., 1104 Spring Street, Silver Spring, Md. 20910.

e. For PAT-TM correspondence: Office of the Commissioner of Patents and Trademarks, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system: (a) Individuals who correspond with the Secretary of Commerce, Deputy Secretary, or Assistant Secretary for Congressional Affairs, and individuals whose correspondence has been referred by the White House, other Executive agencies or Members of Congress to the Secretary or Deputy Secretary for response. (b) Individuals who correspond with top level officials in EDA, MBDA, NOAA, and PAT-TM. In these categories the individuals include only those who express views or seek information or assistance. Freedom of Information Act or Privacy Act requests are not indexed in this system (See Freedom of Information and Privacy Request Records—COMMERCE/DEPT-5).

Categories of records in the system:

The system may include the name and address or correspondent, summary of subject matter, original correspondence, official response, referral letters, memoranda or notes concerning the subject of the correspondence, or copies of any enclosures. The records in the system are arranged numerically by control number assigned to each item of correspondence.

Authority for maintenance of the system:

5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by personnel in the Office of the Secretary, Executive Secretarit, and administrative offices of each operating unit of the Department to assure that each request receives an appropriate and timely reply and to prepare statistical reports for management on correspondence volume or topics of public interest.

Information from or copies of the records may be provided to the original addressee of the original correspondence. General routine uses of the Prefatory Statement also apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in paper form and on diskettes and magnetic tape.

Retrievability:

By control number, by correspondent's name, by subject, by addressee, by category of writer (e.g., Member of Congress, White House staff, Cabinet member, mayor, citizen) by category of correspondence, by Executive Secretariat analysts' identification code, by type of priority for response time, by date, or possibly by city and state of correspondent's address.

Safeguards:

Paper records and magnetic tape are stored in file cabinets on secured premises with access limited to personnel whose official duties require access.

Retention and disposal:

Records are disposed in accord with the appropriate records disposition schedule approved by the Archivist of the United States.

System manager(s) and address:

For records at location a.: Director, Executive Secretariat, Office of the Secretary, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b.: Chief, Executive Secretariat, EDA, Room 7227, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

For records at location c.: Chief, MBDA Secretariat, Room 5083, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

For records at location d.: Director, Executive Secretariat, Office of Administrator, National Oceanic and Atmospheric Administration, Washington, D.C. 20230.

For records at location e.: Commissioner of Patents and Trademarks, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Notification procedure:

For records at location a., information may be obtained from Director, Office of Organization and Managment Systems, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b., information may be obtained from Director, Office of Public Affairs, EDA, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location c., information may be obtained from Privacy Officer, Office of Chief Counsel, MBDA, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location d., information may be obtained from the Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852.

For records at location e., information may be obtained from Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. All requests for information should provide the correspondent's name as included in original correspondence, or provide any items listed under the retrievability section above pursuant to the inquiry provisions of the Department's rules that appear in 15 CFR Part 4b.

Record access procedures:

Request for access and disclosures should be addressed to the same address as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and for appealing initial determination by the individual concerned appear in 15 CFR Part 4b. Requests for correction should be addressed to manager as shown above.

Record source categories:

The correspondent, referral source, Department employees involved in processing the correspondence, and other individuals, as required to prepare an appropriate response.

COMMERCE/DEPT-11

System name: Candidates for Membership, Members, and Former Members of Department of Commerce Advisory Committees.

System location: Office of the Secretary, Room 5716, U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system: Individuals recommended for membership on advisory committees, current members and former members of advisory committees.

Categories of records in the system: Resume information: name, home address, business address, educational and employment histories, awards and honors received, age, date of birth, and other biographical information; records of appointment, expiration of the appointment, and correspondence including letters of recommendation.

Authority for maintenance of the system: 5 U.S.C. 301, P.L. 92-463.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See general routine uses 1, 2, 3, 5, and 9 of the Prefatory statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper hard copy, diskettes for use on word processing equipment.

Retrievability: Data is filed by committee. An alphabetical card file index of candidates, members, and former members' names is used to retrieve data. This index is also on diskette to retrieve information on word processing equipment.

Safeguards: Records are located in a locked office. Paper records and diskettes are in locked file cabinets. Access to data on the word processor is by password.

Retention and disposal: Records will be maintained indefinitely.

System manager(s) and address: Confidential Assistant, Office of the Secretary, Room 5716, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure: Information may be obtained from: Director, Office of Organization and Management Systems, O/S, U.S. Department of Commerce, Washington, D.C. 20230. Requestor should provide name and address, pursuant to the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: the address listed in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual appear in 15 CFR Part 4b. Use the address given in the notification section above.

Record source categories:

Individual candidate or member, persons recommending candidates and those authorized by the individual to provide information.

COMMERCE/DEPT-12.

System name: Investigative and Inspection Records—COMMERCE/DEPT-12.

System location: Office of Inspector General, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Categories of individuals covered by the system: a. Current and former employees of the Department of Commerce and such other persons whose association with the Department relates to the alleged violations of the Department's rules of conduct, the Civil Service merit system, or any other criminal or civil misconduct, which affects the integrity or facilities of the Department of Commerce. The names of individuals and the files in their names may be: 1) received by referral; or 2) initiated at the discretion of the Inspector General in the conduct of assigned duties.

b. Individuals who are: witnesses; complainants; confidential or non-confidential informants; suspects; defendants; parties who have been identified by the Office of the Inspector General or by other agencies, constituent units of the Department of Commerce and members of the general public in connection with the authorized functions of the Inspector General.

c. Current and former Commerce officials who are the subject of investigations initiated and conducted by the Office of the Inspector General.

Categories of records in the system: Letters, memoranda, and other documents citing complaints of alleged criminal or administrative misconduct. Investigative files which includes: reports of investigations to resolve allegations of misconduct or violations of law with related exhibits, statements, affidavits or records obtained during investigations; prior criminal or non-criminal records of individuals as they relate to the investigations; reports of actions taken by management personnel regarding misconduct; and reports from or to other law enforcement bodies.

Authority for maintenance of the system: Inspector General Act of 1978 (Public Law 95-462); Executive Orders 12065 and 10450; 44 U.S.C. 3101; 28 U.S.C. 535; 18 U.S.C. including Sections 201, 203, 205, 207, 208, 209, 210, 211, 219, 285, 287, 508, 595, 600, 602, 603, 604, 607, 608, 641, 643, 653, 654, 798, 1001, 1719, 1905, 1913, 1917, 1918, 2071, 2073; 5 U.S.C. including Sections 301, 2302, 7311, 7324, 7352; 15 U.S.C. 1512; 31 U.S.C. 638(a)(c).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine use for law enforcement purposes will include disclosure to the appropriate agency, whether Federal, State, local, foreign, or international, charged with the responsibility for investigating or prosecuting a violation of any law, rule, regulation or order or of enforcing or implementing any law, rule, regulation or order. Routine use for law enforcement purposes will also include disclosure to individuals or to agencies, whether Federal, State, local, foreign or international, when necessary to further the ends of an investigations. See routine use paragraphs 1-5 and 8-13 in Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders; and automated storage media.

Retrievability: Indices are alphabetical, cross referenced to file number.

Safeguards: Locked cabinets in secured rooms or in guarded building, and used only by authorized screened personnel.

Retention and disposal: When cases are closed records are disposed of in accordance with the unit's Records Control Schedule.

System manager(s) and address: Assistant Inspector General for Investigations, Office of the Inspector General, 1325 G Street, N.W., Room 1060, Washington, D.C. 20230.

Notification procedure: Information may be obtained from: Assistant Inspector General for Investigations, Office of the Inspector General, 1325 G Street, N.W., Room 1060, Washington, D.C. 20230. Requester should provide name and association with the Department, if any, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals; Office of Personnel Management, FBI and other Federal, state, local, foreign and international agencies; individuals and organizations that have pertinent knowledge about the subject; and those authorized by the individual to furnish information.

Systems exempted from certain provisions of the act: Under 5 U.S.C. 552a(j)(2), the head of any agency may exempt any system of records within the agency from certain provisions of the Privacy Act of 1974, if the agency or component that maintains the system performs as its principal function any activities pertaining to the enforcement of criminal laws. The Inspector General Act of 1978, Public Law 95-462, mandates the Inspector General to recommend policies for, and to conduct, supervise and coordinate activities in the Department and between the Department and other Federal, State and local governmental agencies with respect to all matters relating to the prevention and detection of fraud in programs and operations administered or financed by the Department, and to the identification and prosecution of participants in such fraud. Under the Act, whenever the Inspector General has reasonable grounds to believe there has been a violation of Federal criminal law the Inspector General must report the matter expeditiously to the Attorney General. In addition to these principal functions pertaining to the enforcement of criminal laws, the Inspector General may receive and investigate complaints on information from various sources concerning the possible existence of activities constituting violations of law, rules or regulations, or mismanagement, gross waste of funds, abuses of authority or substantial and specific danger to the public health and safety.

The provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(j)(2) are as follows:

5 U.S.C. 552a(c)(3) and (4)
5 U.S.C. 552a(d)
5 U.S.C. 552a(e)(1)(2) and (3)
5 U.S.C. 552a(e)(4)(G), (H), and (I)
5 U.S.C. 552a(e)(5) and (8)
5 U.S.C. 552a(f)
5 U.S.C. 552a(g)

To the extent that the exemption under 5 U.S.C. 552a(j)(2) is held to be invalid, then the exemptions under 5 U.S.C. 552a(k)(1), (k)(2), and (k)(5) are claimed for all material which meets the criteria of these three subsections.

Provisions of the Privacy Act of 1974 from which exemptions are claimed under 5 U.S.C. 552a(k)(1), (k)(2) and (k)(5) are as follows:

5 U.S.C. 552a(c)(3)
5 U.S.C. 552a(d)
5 U.S.C. 552a(e)(1)
5 U.S.C. 552a(e)(4)(G), (H), and (I)
5 U.S.C. 552a(f)

Reasons for exemptions: In general, the exemption of this information and material is necessary in order to accomplish the law enforcement function of the Office of Inspector General, to prevent disclosure of classified information as required by Executive Order 12065, to prevent subjects of investigation from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information, and to avoid endangering these sources and law enforcement personnel. Detailed reasons follow:

Reasons for exemptions under 5 U.S.C. 552a(j)(2) and (k)(2):

1) 5 U.S.C. 552a(c)(3) requires that upon request, an agency must give an individual named in a record an accounting which reflects the disclosure of the record to other persons or agencies. This accounting must state the date, nature and purpose of each disclosure of the record and the name and address of the recipient. The application of this provision would alert subjects of an investigation to the existence of the investigation and that such persons are subjects of that investigation. Since release of such information to subjects of an investigation would provide the subjects with significant information concerning the nature of the investigation, it could result in the alerting or destruction of documentary evidence, improper influencing of witnesses, and other activities that could impede or compromise the investigation.

2) 5 U.S.C. 552a(c)(4), (d), (e)(4)(G) and (H), (f) and (g) relate to an individual's right to be notified of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; the agency procedures relating to access to records and the contest of information contained in such records; and the civil remedies available to the individual in the event of adverse determinations by an agency concerning access to or amendment of information contained in record systems. This system is exempt from the foregoing provisions for the following reasons: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such individual or to grant access to an investigative file could interfere with investigative and enforcement proceedings, deprive co-defendants of a right to a fair trial or other impartial adjudication, constitute an unwarranted invasion of personal privacy of others, disclose the identity of confidential sources and reveal confidential information supplied by these sources and disclose investigative techniques and procedures.

3) 5 U.S.C. 552a(e)(4)(I) requires the publication of the categories of sources of records in each system of records. The application of this provision could disclose investigative techniques and procedures and cause sources to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and confidentiality. This would compromise the ability to conduct investigations, and to identify, detect, and apprehend violators.

4) 5 U.S.C. 552a(e)(1) requires each agency to maintain in its records only such information about an individual that is relevant and necessary to accomplish a purpose of the agency required by statute or Executive Order. An exemption from the foregoing is needed:

a. Because it is not possible to detect relevance or necessity of specific information in the early stages of a criminal or other investigation.

b. Relevance and necessity are questions of judgment and timing. What appears relevant and necessary when collected may ultimately be determined to be unnecessary. It is only after the information is

evaluated that the relevance and necessity of such information can be established.

c. In any investigation the Inspector General may obtain information concerning the violations of laws other than those within the scope of his jurisdiction. In the interest of effective law enforcement, the Inspector General should retain this information as it may aid in establishing patterns of criminal activity, and provide leads for those law enforcement agencies charged with enforcing other segments of criminal or civil law.

d. In interviewing persons, or obtaining other forms of evidence during an investigation, information may be supplied to the investigator which relate to matters incidental to the main purpose of the investigation but which may relate to matters under the investigative jurisdiction of another agency. Such information cannot readily be segregated.

5) 5 U.S.C. 552(e)(2) requires an agency to collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privilege under Federal programs. The application of the provision would impair investigations of illegal acts, violations of the rules of conduct, merit system and any other misconduct for the following reasons:

a. In certain instances the subject of an investigation cannot be required to supply information to investigators. In those instances, information relating to a subject's illegal acts, violations of rules of conduct, or any other misconduct, etc., must be obtained form other sources.

b. Most information collected about an individual under investigation is obtained from third parties such as witnesses and informers. It is not feasible to rely upon the subject of the investigation as a source for information regarding his activities.

c. The subject of an investigation will be alerted to the existence of an investigation if any attempt is made to obtain information from subject. This could afford the individual the opportunity to conceal any criminal activities to avoid apprehension.

d. In any investigation it is necessary to obtain evidence from a variety of sources other than the subject of the investigation in order to verify the evidence necessary for successful litigation.

6) 5 U.S.C. 552a(e)(3) requires that an agency must inform the subject of an investigation who is asked to supply information of:

a. the authority under which the information is sought and whether disclosure of the information is mandatory or voluntary,

b. the purposes for which the information is intended to be used,

c. the routine uses which may be made of the information, and

d. the effects on the subject, if any, of not providing the requested information. The reasons for exempting this system of records from the foregoing provision are as follows:

(i) The disclosure to the subject of the investigation as stated in (b) above would provide the subject with substantial information relating to the nature of the investigation and could impede or compromise the investigation.

(ii) If the subject were informed of the information required by this provision, it could seriously interfere with undercover activities requiring disclosure of undercover agents' identity and impairing their safety, as well as impairing the successful conclusion of the investigation.

(iii) Individuals may be contacted during preliminary information-gathering in investigations before any individual is identified as the subject of an investigation. Informing the individual of the matters required by this provision would hinder or adversely affect any present or subsequent investigations.

7) 5 U.S.C. 552a(e)(5) requires that records be maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in making any determination about an individual. Since the law defines "maintain" to include the collection of information complying with this provision would prevent the collection of any data not shown to be accurate, relevant, timely, and complete at the moment of its collection. In gathering information during the course of an investigation it is not possible to determine this prior to collection of the information. Facts are first gathered and then placed into a logical order which objectively proves or disproves criminal behavior on the part of the suspect. Material which may seem unrelated, irrelevant, incomplete, untimely, etc., may take on added meaning as an investigation progresses. The restrictions in this provision could interfere with the preparation of a complete investigative report.

8) 5 U.S.C. 552a(e)(8) requires an agency to make reasonable efforts to serve notice on an individual when any record of such individual is made available to any person under compulsory legal process when such process becomes a matter of public record. The notice requirement of this provision could prematurely reveal an ongoing criminal investigation to the subject of the investigation.

Reasons for exemptions under 5 U.S.C. 522a(k)(1):

1) 5 U.S.C. 552a(c)(3) requires that an agency make accountings of disclosures of records available to individuals named in the records at their request. These accountings must state the date, nature and purpose of each disclosure of the record and the name and address of the recipient. The application of this provision would alert subjects of an investigation to the existence of the investigation and that such persons are subjects of that investigation, information which if known might cause damage to national security.

2) 5 U.S.C. 552a(d), (e)(4) (G) and (H), and (f) relate to an individual's right to be notified of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; and the agency procedures relating to access to records and the contest of information contained in such records. This system is exempt from the foregoing provisions for the following reasons: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such individual or to grant access to an investigative file could interfere with investigations undertaken in connection with national security; or could disclose the identity of sources kept secret to protect national security or reveal confidential information supplied by these sources.

3) 5 U.S.C. 552a(e)(4)(I) requires the publication of the categories of sources of records in each system of records. The application of this provision could disclose the identity of sources kept secret to protect national security.

4) 5 U.S.C. 552a(e)(1) requires each agency to maintain in its records only such information about an individual that is relevant and necessary to accomplish a purpose of the agency required by statute or Executive Order. An exemption from the foregoing is needed: a. Because it is not possible to detect relevance or necessity of specific information in the early stages of an investigation involving national security matters.

b. Relevance and necessity are questions of judgment and timing. What appears relevant and necessary when collected may ultimately be determined to be unnecessary. It is only after the information is evaluated that the relevance and necessity of such information can be established.

c. In any investigation the Inspector General may obtain information concerning the violators of laws other than those within the scope of his jurisdiction. In the interests of effective law enforcement, the Inspector General should retain this information as it may aid in establishing patterns of criminal activity, and provide leads for those law enforcement agencies charged with enforcing other segments of criminal or civil law.

d. In interviewing persons, or obtaining other forms of evidence during an investigation, information may be supplied to the investigator which relate to matters incidental to the main purpose of the investigation but which may relate to matters under the investigative jurisdiction of another agency. Such information cannot readily be segregated.

Reasons for exemptions under 5 U.S.C. 552a(k)(5):

1) 5 U.S.C. 552a(c)(3) requires that an agency make accountings of disclosures of records available to individuals named in the records at their request. These accountings must state the date, nature and purpose of each disclosure of the record and the name and address of the recipient. The application of this provision would alert subjects of an investigation to the existence of the investigation and that such persons are subjects of that investigation. Since release of such information to subjects of an investigation would provide the subjects with significant information concerning the nature of the investigation, it could result in the altering or destruction of documentary evidence, improper influencing of witnesses, and other activities that could impede or compromise the investigation.

2) 5 U.S.C. 552a(d), (e)(4) (G) and (H), and (f) relate to an individual's right to be notified of the existence of records pertaining to such individual; requirements for identifying an individual who requests access to records; and the agency procedures relating to access to records and the contest of information contained in such records. This sytem is exempt from the foregoing provisions for the following reasons: To notify an individual at the individual's request of the existence of records in an investigative file pertaining to such individual or to grant access to an investigative file could interfer with investigative and enforcement proceedings; co-defendants of a right to a fair trial; constitute an unwarranted invasion of personal privacy of others; disclose the identity of confidential sources and reveal confidential information supplied by these sources; and disclose investigative techniques and procedures.

3) 5 U.S.C. 552a(e)(4)(I) requires the publication of the categories of sources of records in each system of records. The application of this provision could disclose investigative techniques and procedures and cause sources to refrain from giving such information because of fear of reprisal, or fear of breach of promises of anonymity and

confidentiality. This would compromise the ability to conduct investigations, and to make fair and objective decisions on questions of suitability for Federal employment and related issues.

4) 5 U.S.C. 552a(e)(1) requires each agency to maintain in its records only such information about an individual that is relevant and necessary to accomplish a purpose of the agency required by statute or Executive Order. An exemption from the foregoing is needed:

a. Because it is not possible to detect relevance or necessity of specific information in the early stages of an investigation.

b. Relevance and necessity are questions of judgment and timing. What appears relevant and necessary when collected may ultimately be determined to be unnecessary. It is only after the information is evaluated that the relevance and necessity of such information can be established.

c. In any investigation the Inspector General may obtain information concerning the violations of laws other than those within the scope of his jurisdiction. In the interest of effective law enforcement, the Inspector General should retain this information as it may aid in establishing patterns of criminal activity, and provide leads for those law enforcement agencies charged with enforcing other segments of criminal or civil law.

d. In interviewing persons, or obtaining other forms of evidence during an investigation, information may be supplied to the investigator which relate to matters incidental to the main purpose of the investigation but which may relate to matters under the investigative jurisdiction of another agency. Such information cannot readily be segregated.

COMMERCE/DEPT-13

System name: Investigative and Security Records—COMMERCE/DEPT-13.

System location: Departmental Office of Investigations and Security, OS, Main Commerce Bldg., Washington, D.C. 20230.

Categories of individuals covered by the system: Nominees, members, and former members of public advisory committees, trade missions, and export councils; employees, former employees, and prospective employees; research associates; and guest workers. Employees of contractors used, or which may be used, by the Department on national security classified projects. Principal officers of some contractors used, or which may be used by the Department. Principal officers and some employees of organizations, firms, or institutions which were recipients or beneficiaries, or prospective recipients or beneficiaries, of grants, loans, or loan guarantee programs of the Department prior to May 9, 1980.

Categories of records in the system: Name; address; date and place of birth; Social Security Number; citizenship; physical characteristics; employment and military service history; credit references and credit records; education; medical history; arrest records; Federal employee relatives; dates and purpose of visits to foreign countries; passport numbers; names of spouses, relatives, references, and personal associates; activities; and security, and suitability materials. This system does not include records of EEO investigations. Such records are covered in a government-wide system noticed by the then Office of Personnel Management and now the responsibility of the Equal Employment Opportunity Commission. For assistance contact the Privacy Officer for the Office of the Secretary.

Authority for maintenance of the system: Executive Orders 10450, 11478, 12065, 5 U.S.C. 301 and 7531–332; 15 U.S.C. 1501 et. seq.; 28 U.S.C. 533–535; 44 U.S.C. 3101; and Equal Employment Act of 1972.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information concerning nominees, members and former members of public advisory committees may be disclosed: (a) to OMB in connection with its committee management responsibilities; (b) to other Federal agencies which have joint responsibility for advisory committees or which receive or utilize advice of the committees; and (c) to a Federal, state or local agency, private organization or individual as necessary to obtain information in connection with a decision concerning appointment or reappointment of an individual to committee membership.

Information concerning (1) nominees, members, and former members of trade missions and export councils; (2) current employees, former employees, and prospective employees; (3) research associates; (4) guest workers; (5) employees of contractors used, or which may be used, by the Department on national security classified projects; (6) principal officers of some contractors used, or which may be used, by the Department; and (7) principal officers and some employees of organizations, firms or institutions which are recipients or beneficiaries or prospective recipients or beneficiaries of grants, loans, guarantee or other assistance programs of the Department;—may be disclosed to a private organization or individual as necessary to obtain information in connection with a decision concerning the assignment, hiring, or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit. See routine use paragraphs in Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards: Locked cabinets in secure rooms in guarded buildings, and used only by authorized screened personnel.

Retention and disposal: When cases are closed, records are disposed of in accordance with the unit's Records Control Schedule.

System manager(s) and address: Director, Office of Investigations and Security, OS, Main Commerce Building, Washington, D.C. 20230.

Notification procedure: Information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name and association with the Department, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the Nctification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals; OPM, FBI and other Federal, state, and local agencies; individuals and organizations that have pertinent knowledge about the subject; and, those authorized by the individual to furnish information.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a (k)(1), (k)(2) and (k)(5), all information and material in the record which meets the criteria of these subsections are exempted from the notice, access, and contest requirements under 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f) of the agency regulations because of the necessity to exempt this information and material in order to accomplish this law enforcement function of the agency, to prevent disclosure of classified information as required by Executive Order 12065, to assure the protection of the President, to prevent subjects of investigation from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of information, and to avoid endangering these sources and law enforcement personnel.

COMMERCE/DEPT-14

System name:

Litigation, Claims, and Administrative Proceeding Records—COMMERCE/DEPT-14.

System location:

a. For matters involving CENSUS: Office of the Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233. Some records may be duplicated in the offices of Census Bureau division chiefs. A complete address list of division chiefs is available upon request from the individual designated in the Notification section below.

b. For matters involving ITA tort and personal property claims: Office of Administrative Support, International Trade Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

c. For matters involving EDA: Office of Chief Counsel, EDA, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

d. For matters involving NBS other than personal property loss claims and violations of traffic and grounds regulation: National Bureau of Standards, Office, of the Legal Adviser, Administration Building, Washington, D.C. 20234. For matters involving personal property loss claims, Office Management Division, National Bureau of Standards Supply and Plant Building, Washington, D.C. 20234. For matters involving violations of traffic and grounds regulations at Gaithersburg, Maryland, Security Office, Administration Building, Washington, D.C. 20234 and for violations of those regulations at Boulder or Fort Collins, Colorado, Physical Security Office, NBS, Radio Building, Boulder Colorado, 80302.

e. For matters including NOAA—see location i.

f. For matters involving NTIS: Office of the Associate Director for Financial and Administrative Management, National Technical Information Service, Springfield, Va. 22161.

g. For matters involving NTIA: Office of the Chief Counsel, National Telecommunications and Information Administration, 1800 G Street, N.W., Washington, D.C. 20504; or Office of Administration, National Telecommunications and Information Administration, 1800 G Street, N.W., Washington, D.C. 20504.

h. For matters involving PAT–TM: Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington Virginia 22202.

i. For all other matters: Office of the General Counsel, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230. Some of the records at location a through h may be duplicated at location i. Also, the records at locations a through h may be duplicated in part or in whole in other Department of Commerce systems of records, or in Government-wide systems, at other locations. For assistance in this regard, information may be obtained from the individual identified in the appropriate Notification procedure section below.

Categories of individuals covered by the system: Individuals the subject of any litigation in which the Department is involved; individuals who make administrative claims or appeals against the Department; individuals the subject of claims and administrative actions brought by the Department. Individuals cited for violation of traffic and grounds regulations. Individuals who may have provided statements or other evidence with respect to any of the above. "Department" means the U.S. Department of Commerce or any component thereof , or any officer or employee thereof.

Categories of records in the system: Names, addresses, social security account numbers, statements of claims and analyses thereof, investigatory reports, opinions of law, and pleadings, motions, depositions, rulings, opinions, citation particulars (description of vehicle, date of birth, physical characteristics, driving permit or license data, vehicle license data, etc.), and other litigation and claims documentation.

Authority for maintenance of the system:

5 U.S.C. 301; 44 U.S.C. Section 31101; 42 U.S.C. 3211; 31 U.S.C. 240; 28 U.S.C. 533–535 and 1346(b); 15 U.S.C. 277 and 278e(b); E.O. 10450; and all other authorities of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Records are disposed of according to unit's Record Control Schedule.

System manager(s) and address:

For records at location a.: Associate Director for Administration Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location b.: Director, Officer of Administrative Support, International Trade Administration, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location c.: Chief Counsel, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

For records at location d.: For matters involving NBS other than personal property loss claims and violations of traffic and grounds regulations: Legal Adviser, National Bureau of Standards, Washington, D.C. 20234. For matters involving violations of traffic and grounds regulations; Chief, Facilities Services Division, National Bureau of Standards, Supply and Plant Building, Washington, D.C. 20234. For matters involving personal property loss claims: Staff Officer, Office Management Division, National Bureau of Standards Washington, D.C. 20234.

For records at location f.: Associate Director for Financial and Administrative Management, National Technical Information Service Springfield, Va. 22161.

For records at location g.: Chief Counsel and Director of Administration (for their respective portions), National Telecommunications and Information Administration, U.S. Department of Commerce, 1800 G Street, N.W., Washington, D.C. 20504.

For records at location h.: Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location e, f and i.: General Counsel, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure:

For records at location a.: information may be obtained from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location b., information may be obtained from: Privacy Act Office, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location c., information may be obtained from: Director, Office of Public Affairs, EDA, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location d.: information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234;

For records at location e.: information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852.

For records at location f.: information may be obtained from: Associate Director for Financial and Administrative Management, National Technical Information Service, Springfield, Va. 22161.

For records at location g.: information may be obtained from: Privacy Officer, National Telecommunications and Information Administration, U.S. Department of Commerce, 1800 G Street, N.W., Washington, D.C. 20504.

For records at location h.: information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location i.: information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

Requester should provide name, address, social security number, case number, date of claim, organization unit in which employed, as appropriate, pursuant to the inquiry provisions which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject claimant or plaintiff; those authorized by the foregoing to furnish information; and, whatever sources pertinent to the nature of the case.

Systems exempted from certain provisions of the act:

Pursuant to 5 U.S.C. 552a (k)(1), (k)(2) and (k)(5), all investigatory material and material subject to the provisions of 5 U.S.C. 552(b)(1) in the record which meets the criteria of these sub-sections is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations because of the necessity to exempt this information and material in order to prevent disclosure of classified information as required by Executive Order 12065 in the interest of the national defense and foreign policy and in order for the Department's legal staff to properly perform its functions.

COMMERCE/DEPT–15

System name: Private Legislation Claimants-Central Legislative Files—COMMERCE/DEPT–15.

System location: Office of the General Counsel, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Categories of individuals covered by the system: Individual claimants against the government seeking remedy through private relief bills in patent, contract, employee compensation, and other similar areas which involve the Department.

Categories of records in the system: Draft and formal relief bills, statements, and information as to the basis and validity of the claim, and correspondence with the claimant and the sponsor of the legislation.

Authority for maintenance of the system: 5 U.S.C. 301, Act of February 4, 1903, 32 Stat. 825.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards: Records are located in lockabled metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: Records are retained according to the Office's Records Control Schedule.

System manager(s) and address: Assistant General Counsel, Legislation, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure: Information may be obtained from: Director, Office of Organization and Management Systems, OS, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name, social security number, date of claim, and name of bill, if any, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject claimant and those authorized by the claimant to furnish information; records of units of the Department primarily involved in the transaction; service or application on which the claim is founded; and the sponsoring Member of Congress.

COMMERCE/DEPT-16

System name: Property Accountability Files—COMMERCE/DEPT-16.

System location: a. For all libraries of the Department. For listing, see Directory of Libraries in the United States Department of Commerce, 1972, Department of Commerce, Washington, D.C.; or American Library Directory, biennial, R.R. Bowker Company, New York City.

b. For employees of CENSUS: Administrative Service Division, Bureau of the Census, Federal Building 4, Washington, D.C. 20233, and the following Census Regional Offices: 1365 Peachtree Street, NE., Atlanta, Georgia 30309; 441 Stuart Street, Boston, Massachusetts 02116; 230 South Tryon Street, Charlotte, North Carolina 28202; 55 East Jackson Boulevard, Chicago, Illinois 60604; 1100 Commerce Street, Dallas, Texas 75242; 575 Union Boulevard (P.O. Box 25207), Denver, Colorado 80225; 231 W. Lafayette, Detroit, Michigan 48226; One Gateway Center, 4th and State Streets, Kansas City, Kansas 66101; 11777 San Vicente Boulevard, Los Angeles, California 90049; 26 Federal Plaza, New York City, New York 10278; 600 Arch Street, Philadelphia, Pennsylvania 19106; and 1700 Westlake Avenue, Seattle, Washington 98109.

c. For employees of NBS: Security Office, National Bureau of Standards, Administration Building, Washington, D.C. 20234. Instrument Shops Division, Shops Building, NBS, Washington, D.C. 20234; and Security Office, Radio Building, NBS, Boulder, Colorado 80302.

d. For employees of PAT-TM: Users Services Section, Scientific Library, U.S. Patent and Trademark Office, Washington, D.C. 20231.

e. For NTIA: Office of Administration, National Telecommunications and Information Administration, 1800 G Street, NW., Washington, D.C. 20504.

Categories of individuals covered by the system: Employees, general public, institutions, and anyone who charges out or signs for books or other materials.

Categories of records in the system: Name; telephone number; title of book; identification of property or equipment; home and business address; employee I.D. number; position; job title; grade; organization; explanations for items not accounted for, correspondence; clearances; and, key number.

Authority for maintenance of the system: 5 U.S.C. 301; 44 U.S.C. 3101; 40 U.S.C. 481-92; 15 U.S.C. 1518.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1-5 and 9-13 of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copy in file folders and trays and machine-readable media.

Retrievability: Filed alphabetically by name.

Safeguards: Records are located in lockable metal file cabinets, or lockable desks, or in metal file cabicets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: Retained until property is accounted for, then disposed of in accordance with unit's Record Control Schedule.

System manager(s) and address: For records at location a.: The head of the respective library.

For records at location b.: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233, and the Director of the particular Regional Office listed above.

For records at location c.: Security Officer, National Bureau of Standards, Administration Building, Washington, D.C. 20234.

For records at location d.: Program Manager, Scientific Library, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location e.: Director of Administration, National Telecommunications and Information Administration, U.S. Department of Commerce, 1800 G Street, NW., Washington, D.C. 20504.

Notification procedure: For records at location a.: Address communication to the library's parent organization (e.g., National Bureau of Standards) Attention: Privacy Officer, or use the Privacy Officer's Official position title and address as listed in Appendix B to the Department's rules which appear in 15 CFR Part 4b.

For records at location b.: Information may be obtained from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location c.: Information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

For records at location d.: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231.

For records at location e.: Information may be obtained from: Privacy Officer, National Telecommunications and Information Administration, U.S. Department of Commerce, 1800 G Street, NW., Washington, D.C. 20504.

Requester should provide name and address pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, those authorized by the individual to furnish information, book cards, and supply person providing the equipment.

COMMERCE/DEPT-17

System name: Records of Cash Receipts—COMMERCE/DEPT-17.

System location: a. For Departmental offices, BEA, BIE, ITA, MBDA, USTS, Offices of Federal Cochairmen, RAPCs, and ARC: Office Financial Operations, OS, U.S. Department of Commerce, 14th and Consitution Ave., N.W., Washington, D.C. 20230.

b. For NTIS: Accounting Division, National Technical Information Service, Springfield, Virginia 22161.

c. For PAT-TM: Office of Finance, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

d. For Census: Finance Division, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

e. For NTIA: Office of Administration, National Telecommunications and Information Administration, 1800 G Street, N.W., Washington, D.C. 20504.

f. For EDA: Accounting Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Categories of individuals covered by the system: Individuals paying for goods or services, reimbursing overpayments, or otherwise delivering cash to the Department.

Categories of records in the system: Individual's name, the goods or service purchased, amount, date, check number, division or office, bank deposit, treasury deposit number.

Authority for maintenance of the system: 31 U.S.C. 66(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1–5 and 9–13 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual and machine-readable.

Retrievability: Name and/or account or case number.

Safeguards: Records are located in lockable metal file cabinets or in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: Permanently maintained.

System manager(s) and address: For records at location a.: Director, Office of Financial Operations, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b.: Chief, Accounting Division, National Technical Information Service, Springfield, Virginia 22161.

For records at location c.: Director, Office of Finance, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location d.: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location e.: Director of Administration, National Telecommunications and Information Administration, 1800 G Street, N.W., Washington, D.C. 20504.

For records at location f.: Chief, Accounting Division, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

Notification procedure: For BEA records at location a., information may be obtained from: Chief, Management and Organization Branch, BEA, Tower Building, 1401 K Street, N.W., Washington, D.C. 20230;

For BIE records at location a., information may be obtained from: Administrative Officer, BIE, Room 4845, 14th and Constitution Avenue, N.W., Washington, D.C. 20230;

For ITA records at location a., information may be obtained from: Director, Office of Management and Systems, ITA, U.S. Department of Commerce, Washington, D.C. 20230;

For MBDA records at location a., information may be obtained from: Privacy Officer, Office of Chief Counsel, MBDA, U.S. Department of Commerce, Washington, D.C. 20230;

For USTS record at location a., information may be obtained from: Director, Office of Administration, USTS, U.S. Department of Commerce, Washington, D.C. 20230; and

For all other records at location a., information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230, and

For all other records at location a., information may be obtained from: Director, Office of Organization and Managment Systems, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location b., information may be obtained from: Associate Director for Financial and Administrative Management, National Technical Information Service, Springfield, Virginia 22161.

For records at location c., information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location d., information may be obtained from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location e., information may be obtained from: Privacy Officer, National Telecommunications and Information Administration, U.S. Department of Commerce, Washington, D.C. 20504.

For records at location f., information may be obtained from: Director, Office of Public Affairs, EDA, U.S. Department of Commerce, Washington, D.C. 20230.

Requester should provide name, address, date of receipt, and check number or case number pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual and those authorized by the individual to furnish information.

COMMERCE/DEPT-18

System name: Employees Personnel Files Not Covered By Notices of Other Agencies—COMMERCE/DEPT-18.

System location: a. For all Departmental employees: Departmental Office of Personnel, Room 5001, U.S. Department of Commerce, Washington, D.C. 20230 (for automated records and for selected records relating to Senior Executive Service and Departmental Honor Awards).

b. For employees of Departmental Offices, Offices of Federal Cochairmen, RAPC's, ARC, BEA, BIE, NTIA, NTIS, MBDA, and USTS: Departmental Office of Personnel Operations, Room 5008, U.S. Department of Commerce, Washington, D.C. 20230;

c. For employees of CENSUS: Office of Personnel, Bureau of Census, Federal Building 3, Room 3260, Washington, D.C. 20233;

d. For employees of ITA: Office of Personnel, International Trade Administration, Room 3512, U.S. Department of Commerce, Washington, D.C. 20230;

e. For employees of NBS: Office of Personnel, National Bureau of Standards, Administration Building, Room A123, Washington, D.C. 20234;

f. For employees of NOAA: Office of Personnel, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852;

g. For employees of PAT-TM: Office of Personnel, U.S. Patent and Trademark Office, U.S. Department of Commerce, Room 9C06, Crystal Plaza 2, Arlington, Virginia 22202;

h. For employees of EDA: Personnel Management Division, Economic Development Administration, Room 7089, U.S. Department of Commerce, Washington, D.C. 20230; and

i. For any Department employee: The immediate office of an employee's supervisor(s), for records which have been disclosed to someone else.

Categories of individuals covered by the system: Current and former employees.

Categories of records in the system: All personnel records in the Department which are subject to the Privacy Act but are not covered in the notices of systems of records published by other agencies with influence upon personnel management in the Department, such as the Office of Personnel Management, Merit System Protection Board, Equal Employment Opportunity Commission, Department of State or Department of Labor. The records of this system may include, but are not limited to: Employee Development; Incentive Awards; Employee Relations; Grievance Records; Medical; Work-related Injury or Illness Claims; Grievance Records; Medical; Career Management Program; Ship Personnel; Employee Overseas Assignments; Minority Group Statistics Program; Work Performance and Appraisal Records; including supervisory records which have been disclosed; Re-Employment and Priority Placement Programs; Executive Assignments and Merit Pay Actions; Merit Assignment Programs; Retirements; Within-Grade Denials (Reconsideration File); and, Automated Employee Information System.

Authority for maintenance of the system: 5 U.S.C. 301; 44 U.S.C. 3101; 5 U.S.C. 4101 et seq.; 5 U.S.C. 1302, 3301, 3302, E.O. 10577, 3 CFR 1954–1958 Comp. p218, E.O. 12107, 3 CFR 1978 Comp. p264; and Federal Personnel Manual and related directives of the agencies cited above.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Information concerning current or former employees may be disclosed to a private organization or individual as necessary to obtain information in connection with a decision concerning the assignment, hiring, or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

b. To disclose information to any source from which additional information is requested in the course of processing a grievance to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested.

c. To disclose information to officials of the Office of Personnel Management, Merit Systems Protection Board, including the Office of the Special Counsel, the Federal Labor Relations Authority and its General Counsel, or the Equal Employment Opportunity Commission, the Department of State, or the Department of Labor when requested in performance of their authorized duties.

d. To disclose in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

e. To provide information to officials or labor organizations reorganized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions.

f. See routine uses paragraphs in the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual and machine-readable.

Retrievability: Filed by name and/or social security number.

Safeguards: Records are located in lockable metal file cabinets or in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: Retained according to Unit's Records Control Schedule.

System manager(s) and address: For records at location a.: Director, Office of Personnel, Room 5001, U.S. Department of Commerce, Washington, D.C. 20230;

For records at location b.: Director, Office of Personnel Operations, Room 5008, U.S. Department of Commerce, Washington, D.C. 20230;

For records at location c.: Chief of Personnel, Bureau of the Census, Federal Building 3, Room 3260, Washington, D.C. 20233;

For records at location d.: Director, Office of Personnel, International Trade Administration, U.S. Department of Commerce; Room 3512, Washington, D.C. 20230;

For records at location e.: Chief Personnel Division, National Bureau of Standards, Administration Building, Room A123, Washington, D.C. 20234;

For records at location f.: Director, Office of Personnel, National Oceanic and Atmospheric Administration, NBOC2, Rockville, Maryland 20852;

For records at location g.: Personnel Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Room 9C06, Crystal Plaza 2, Arlington, Virginia 22202;

For records at location h.: Personnel Management Division, Economic Development Administration, Room 7089, Washington, D.C. 20230; and

For records at location i.: Employee's supervisor(s).

Notification procedure: For BEA records at locations a. and b., information may be obtained from: Chief, Management and Organization Branch, BEA, Tower Building, 1401 K Street, N.W., Washington, D.C. 20230;

For BIE records at locations a. and b., information may be obtained from: Administrative Officer, BIE, Room 4845, 14th & Constitution Avenue, N.W., Washington, D.C. 20230;

For NTIA records at locations a. and b., information may be obtained from: Privacy Officer, NTIA, U.S. Department of Commerce, Washington, D.C. 20504;

For NTIS records at locations a. and b., information may be obtained from: Privacy Officer, NTIS, U.S. Department of Commerce, Washington, D.C. 20230;

For MBDA records at locations a. and b., information may be obtained from: Privacy Officer, Office of Chief Counsel, MBDA, U.S. Department of Commerce, Washington, D.C. 20230;

For USTS records at locations a. and b., information may be obtained from: Director, Office of Administration, USTS, U.S. Department of Commerce, Washington, D.C. 20230.

For all other records at locations a. and b., information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location c., information may be obtained from: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233;

For records at location d., information may be obtained from: Privacy Act Officer, Office of Management and Systems, International Trade Administration, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230;

For records at location e. information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234;

For records at location f., information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852;

For records at location g., information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231;

For records at location h., information may be obtained from: Personnel Management Division, Economic Development Administration, Room 7089, U.S. Department of Commerce, Washington, D.C. 20230; and

For records at location i., information may be obtained from: Privacy office for employee's unit.

Requester should provide name, social security number, and time or organization unit of employment pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual and those authorized by the individual to furnish information; others involved in references of the individual; physicians; employee's supervisor; for grievance records information is also provided by the testimony of witnesses, by agency officials, and from related correspondence from organizations or persons.

COMMERCE/DEPT-19

System name: Department Mailing Lists—COMMERCE/DEPT-19.

System location: a. Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

b. Minority Business Development Agency, U.S. Department of Commerce, Washington, D.C. 20230.

c. Office of General Services, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

d. For carpool locator records of NBS: Facilities Services Division, National Bureau of Standards, Administration Building, Washington, D.C. 20234.

e. Office of Administrative Services, U.S. Department of Commerce, 14th & Constitution Avenue, N.W., Washington, D.C. 20230.

Categories of individuals covered by the system: At location a.: 1. Persons employed in the Suitland Federal Center who have voluntarily submitted an application to be included in the carpool locator system and be listed as a possible carpool member, and 2. Subscribers to Bureau of the Census publications.

At location b.: Subscribers to MBDA publications and/or representatives of the media who receive MBDA material at their home addresses.

At location c.: Former employees of the Patent and Trademark Office who have requested that their names be included on a newsletter mailing list.

At location d.: Individuals who have voluntarily submitted an application to be included in the carpool locator system and to be listed as a potential carpool member.

At location e.: Individuals who communicated with the 1978 White House Conference on Balanced National Growth and Economic Development, including individuals who received Conference literature.

Categories of records in the system: At location a.: 1. Carpool records include name, address, work week, hours of work, work location, work phone number, willingness to join in a carpool, willingness to participate as a driver or rider in a carpool, zip code. 2. Subscriber lists include name and home address.

At location b.: Name and home address.

At location c.: Name and home address.

At location d.: Carpool locator records include applicant's name, home address, zip code, work hours, work location, office telephone number.

AT location e.: Name, home and/or business address; home and/or business telephone number; place of employment or interest group; type of organization; nature of relationship to the Conference (participant, guest, observer, etc.); source of name; and subject area(s) of interest.

Authority for maintenance of the system: 5 U.S.C. 301; 15 U.S.C. 1512, 2205, 2208, and 44 U.S.C. 3101.

For records at location e.: Public Works and Economic Development Act of 1976, P.L. 94-487, Title II, 90 Stat. 2339, 42 U.S.C. 3121 note.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For all locations, see general routine uses 4, 5, 9, 10, 12, and 13 of the Prefatory Statement.

For records at location a.: Carpool records are disseminated to other persons working at the Suitland Federal Center who have voluntarily listed themselves to form carpools; home address is suppressed.

For records at location d.: Carpool locator records are disseminated to individuals working at or near the NBS site, who request information on carpools. (Home addresses are withheld.)

For records at location e.: Information may be provided Federal, State, local or international agencies in response to a written request indicating likelihood that individuals on the mailing list would benefit by or be interested in material to be sent by the requesting agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copy in file folders, computer tape, mailing labels.

For records at location e.: Index cards and computer print-outs.

Retrievability: Alphabetically by name, and for records at location a., by zip code.

For records at location e.: Alphabetically, by name, by geographical area (state, city), by type of organization with which affiliated if any, by nature of relationship to the Conference, by source of name, and by subject area(s) of interest.

Safeguards: Records are located in locked cabinets or in secured rooms or premises with access limited to those whose official duties require access.

Retention and disposal: Records are retained in accordance with each unit's Records Control Schedule.

System manager(s) and address: For records at location a.: Associate Director for Administation, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

For records at location b.: Chief of Information, Office of Public Affairs, MBDA, Washington, D.C. 20230.

For records at location c.: Director, Office of General Services, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location d.: Chief, Facilities Services Division, National Bureau of Standards, Administration Building, Room A705, Washington, D.C. 20234.

For records at location e.: Director, Office of Administrative Services, U.S. Department of Commerce, 14tn and Constitution Avenue, N.W., Washington, D.C. 20230.

Notification procedure: For records at location a.: Information may be obtained from: Associate Director for Administration, Federal Building 3, Bureau of the Census, Washington, D.C. 20233.

For records at location b.: Privacy Officer, Office of Chief Counsel, Minority Business Development Agency, U.S. Department of Commerce, Washington, D.C. 20230.

For records at location c.: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231.

For records at location d.: Information may be obtained from Deputy Director of Administration, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requests should provide applicant's name and address in accord with the inquiry provisions of the Department's rules that appear in 15 CFR Part 4b.

For records at location e.: Information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

Record access procedures: Requests from individuals should be addressed to: Same address of the desired location as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address for desired location.

Record source categories:

Subject individuals, and those authorized by subject individual.

For records at location e.: Subject individual; those authorized by the individual to furnish information; public reference sources (press articles, Who's Who, etc.); government, private and public interest organizations.

COMMERCE/DEPT-20

System name: Biographical Files—COMMERCE/DEPT-20.

System location: a. For Secretarial Officers, senior-level officials, and employees of the Office of the Secretary: Office of Public Affairs, U.S. Department of Commerce, Washington, D.C. 20230.

b. For Secretarial Officers and senior-level officials included in Biographical Resumes of Key Officials: Offices of the Director of Personnel, and Assistant Secretary for Administration; all Office of the Secretary, U.S. Department of Commerce, Washington, D.C. 20230.

c. For employees of CENSUS: Public Information Office, Federal Building No.3, Bureau of the Census, Washington, D.C. 20230.

d. For employees of ITA: Office of Public Affairs, International Trade Administration, U.S. Department of Commerce, Washington, D.C. 20233.

e. For employees of EDA: Office of Public Affairs, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

f. For employees of MARAD: Office of Public Affairs, Maritime Administration, U.S. Department of Commerce, Washington, D.C. 20230.

g. For members of the Advisory Board to the U.S Merchant Marine Academy: Office of Assistant Secretary for Maritime Affairs, U.S. Department of Commerce, Washington, D.C. 20230.

h. For employees of NBS and for participants in the Commerce Science and Technology Fellowship Program: Public Information Division, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

i. For employees of NBS' Boulder Laboratories: Program Information Office, National Bureau of Standards, Radio Building, Boulder, Colorado 80303.

j. For members of the National Advisory Committee on Oceans and Atmosphere: National Advisory Committee on Oceans and Atmosphere, 3300 Whitehaven Street, N.W. (PG No.1, Room 438), Washington, D.C. 20235.

k. For employees of NOAA: NOAA headquarters locations: Office of Public Affairs, National Oceanic and Atmospheric Administration, 11420 Rockville Pike, Rockville, Maryland 20852, and/or NOAA field installations, the principal addresses of which are:

NOAA's National Ocean Survey, 6001 Executive Boulevard, Rockville, Maryland 20850.

NOAA's National Weather Service, 8060 13th Street, Silver Spring, Maryland 20910.

NOAA's Office of Coastal Zone Management, 2001 Wisconsin Avenue, N.W., Washington, D.C. 20235.

NOAA's Office of Sea Grant, 6010 Executive Boulevard, Rockville, Maryland 20852.

NOAA's Environmental Research Laboratories, 3100 Marine Street, RB3, Boulder, Colorado 80302, and Environmental Research Laboratories at 9 locations in the United States.

NOAA's National Marine Fisheries Service, 3300 Whitehaven Street, Washington, D.C. 20235.

A complete list of all field installations is available upon request from individual designated in Notification section below.

l. For employees of MBDA: Public Affairs Office, Minority Business Development Agency, U.S. Department of Commerce, Washington, D.C. 20230.

m. For employees of PAT-TM: Office of Information Services, Patent and Trademark Office, Washington, D.C. 20231.

n. For employees of the Office of Science and Technology and Productivity, Technology and Innovation and organizational components reporting to the Assistant Secretary; for members of the Commerce Technical Advisory Board and its subcommittees; and for participants in the Commerce Science and Tec Productivity, Technology and Innovation, U.S. Department of Commerce, Washington, D.C. 20230.

o. For employees of NTIA's Institute for Telecommunication Sciences: Institute for Telecommunication Sciences, NTIA, Boulder, Colorado 80302. For other NTIA employees: Office of the Director of Congressional and Public Affairs, NTIA, 1800 G Street, N.W., Washington, D.C. 20504.

The information in this sytem may be duplicated in other Privacy Act systems of the Commerce Department, in the systems maintained by the Office of Personnel Management, or in the immediate office of the individual to whom the biographical record pertains. For assistance in this regard, contact the Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system: Present and former Department personnel, and members of advisory committees.

Categories of records in the system:

Biographical information which typically includes date and place of birth; education; military service; present position; employment history; field of research; publications; inventions and patents; awards and honors; memberships and affiliations; present and past residences; telephone number; names, ages, and addresses of family members; hobbies and outside interests; and photograph of individual.

Authority for maintenance of the system:

5 U.S.C. 301, 15 U.S.C. 1512, 44 U.S.C. 3101 and Reorganization Plan No. 5 of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Distributed to the press, other government agencies, and the general public for use in connection with written articles, oral interviews, speaking engagements, retirement and obituary notices, and other purposes of public information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders or notebooks.

Retrievability:

By name alphabetically or by position or work unit.

Safeguards:

Records are located in locked metal file cabinets or locked rooms during non-business hours.

Retention and disposal:

Records retention and disposal is in accord with each operating unit's Records Control Schedule.

System manager(s) and address:

For records at location a.: Information Assistant, Office of Communications.

For records at location b.: Director of Personnel, U.S. Department of Commerce.

For records at location c.: Director, Bureau of the Census.

For records at location d.: Director, Office of Public Affairs, International Trade Administration.

For records at location e.: Director, Office of Public Affairs, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

For records at location f.: Chief, Public Information Division, National Bureau of Standards.

For records at location g.: Chief, Program Information Office, National Bureau of Standards.

For records at location h.: Executive Director, National Advisory Committee on Oceans and Atmosphere.

For records at location i.: Director, Office of Public Affairs, National Oceanic and Atmospheric Administration.

For records at location j.: Information Officer, Minority Business Development Agency.

For records at location k.: Director, Office of Information Services, Patent and Trademark Office.

For records at location l.: Special Assistant to the Assistant Secretary for Productivity, Technology, and Innovation, Office of Productivity, Technology, and Innovation, U.S. Department of Commerce.

For records at location m.: Director of Congressional and Public Affairs, National Telecommunications and Information Administration.

For each system manager, use same address as shown in applicable System Location section above.

Notification procedure:

For records at locations a. b. h., and for Office of the Secretary records at location l. Information may be obtained from: Director Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

For records at the locations listed below, information may be obtained from the individual designated. Use same address for each as shown in appropriate System Location section above.

c.: Associate Director for Administration, Bureau of the Census.

d.: Privacy Act Officer, Office of Management and Systems, International Trade Administration, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230.

e.: Director, Office of Public Affairs, Economic Development Administration, U.S. Department of Commerce, 14th and Constitution Avenue, N.W., Washington, D.C. 20230.

f. and g. and NBS records at location l. Deputy Director of Administration, National Bureau of Standards.

k.: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration.

l.: Privacy Officer, Office of Chief Counsel, Minority Business Development Agency.

m.: and PTA–TM records at location l. Assistant Commissioner for Administration, Patent and Trademark Office.

n: Privacy Officer, National Telecommunications and Information Administration.

For NTIS records at location l. Assistant Director for Administration, National Technical Information Service, Sills Building, Springfield, Virginia 22161.

BEA records are included in locations a. and b. above.

Record access procedures:

Requests from individuals should be addressed to: same address of the desired location as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address for desired location.

Record source categories:

All locations, subject individuals. Also, for records at locations b. and f, the individual's Official Personnel File; for records at location i. supervisors of subject individuals; for records at locations h. and i., personnel offices; and for records at locations f., g., and l., other sources such as news releases, articles and publications relating to the subject individual.

COMMERCE/CENSUS–1

System name: Agriculture Census Records for 1974 and 1978—COMMERCE/CENSUS–1

System location: Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census, 1201 East 10th Street, Jeffersonville, Indiana 47103.

Categories of individuals covered by the system: Farm operators.

Categories of records in the system: Age, race, residence, ethnic groups off-farm employment, income.

Authority for maintenance of the system: 13 U.S.C. 142.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These data maintained by the Bureau of the Census are used solely for statistical purposes and are confidential under 13 U.S.C. 8 and 9. Publications of the Bureau do not contain data that could identify any particular establishment or individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, microform, paper hard copy.

Retrievability: Retrieved by unique serial identification numbers internal to the Bureau.

Safeguards: All employees are subject to the restrictions penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, governing the confidentiality of the data.

Retention and disposal: Retention and disposal practices are in accordance with approved General Services Administration schedules. Generally, records are retained for periods of 5 to 11 years, unless a longer period is necessary for statistical purposes or for permanent archival retention.

System manager(s) and address: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C., 552 a(k)(4), this record is exempted from the notification, access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as the data are maintained by the Bureau of the Census solely as statistical records as required under Title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance with agency rules published in 15 CFR Part 4b.

COMMERCE/CENSUS–2

System name: Employee Productivity Measurement Records—COMMERCE/CENSUS–2.

System location: Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census, 1201 East 10th Street, Jeffersonville, Indiana 47103 and Bureau of the Census, Personal Census Service Branch, Pittsburg, Kansas 66762. Also at the following Census Regional Offices: 1365 Peachtree Street NE., Atlanta, Georgia 30309; 441 Stuart Street, Boston, Massachusetts 02116; 230 S. Tryon Street, Charlotte, North Carolina 28202; 55 E. Jackson Boulevard, Suite 1304, Chicago, Illinois 60604; 1100 Commerce Street, Dallas, Texas 75242; 575 Union Boulevard, P.O. Box 25207, Denver, Colorado 80225; 231 W. Lafayette, RM 565, Detroit, Michigan 48226; One Gateway Center, 4th and State Streets, Kansas City, Kansas 66101; 11777 San Vicente Boulevard, Los Angeles, California 90049; 26 Federal Plaza, New York, New York 10278; 600 Arch Street, Philadelphia, Pennsylvania 19106; 1700 Westlake Avenue, Seattle, Washington, 98109. Also at the following processing offices: Bureau of the Census, Laguna Niguel Processing Office, Chet Holifield Building, 24000 Avila Road, Laguna Niguel, California 92677 and Bureau of the Census, New Orleans Processing Office, Michoud Assembly Facility, Building 350–2W, 13800 Old Gentilly Road, New Orleans, Louisiana 70129.

Categories of individuals covered by the system: Census employees.

Categories of records in the system: Name, employee number, rate of pay, supervisor, organization unit, location, type of work performed, time work accomplished, work units processed, production standard and percent performance, number and types of errors and error rates, work units accepted and rejected, and similar information on employee and work group productivity.

Authority for maintenance of the system: 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1–5 and 8–13 in the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, paper copy, microform.

Retrievability: Retrieved by name or employee number and/or program or interviewer code.

Safeguards: Tape under ADP security, sensitive material is held in locked file cabinets.

Retention and disposal: Records retained for 5 years.

System manager(s) and address: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Notification procedure: Information may be obtained from: same address as stated in the system manager section above. Requester should provide name, employee number and/or program or interviewer code, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals, timekeepers, supervisors, managers, and those authorized by the individuals to furnish information.

COMMERCE/CENSUS–3

System name: Individual and Household Statistical Surveys and Special Studies Records—COMMERCE/CENSUS–3.

System location: Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census, 1201 East 10th Street, Jeffersonville, Indiana 47103 and National Archives and Records Service, Washington National Records Center, Washington, D.C. 20409.

Categories of individuals covered by the system: Individuals designated for statistical sample surveys and special studies.

Categories of records in the system: Age, sex, race, education, marital status, residence, family income, birth expectations, employment, ethnic origin, relationship to head of household, mobility status, and similar social, economic, and demographic characteristics of individuals.

Authority for maintenance of the system: 12 U.S.C. 17012–1, 2(f) and 2(g); 13 U.S.C. 6, 8, 9, 41, 89, 101, 141, 181, 195, and 301; 15 U.S.C. 772; 16 U.S.C. 742d(4) and (5); 23 U.S.C. 134, 307, and 307a; 29 U.S.C. 1 and 9; 31 U.S.C. 686; 42 U.S.C. 242c, 242k, 282(5), 902, 1395 11(a), 1862, 2825, and 3732; and 49 U.S.C. 1605.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Identifiable data from records not protected by 13 U.S.C. 9, received from State and local units of government responsible for administering Comprehensive Employment and Training Act funds and from individual respondents pursuant to the Longitudinal Manpower Survey authorized by 29 U.S.C. 881(c) and 883, may be furnished to the Social Security Administration solely for the purpose of obtaining further identifiable data for statistical use in the Survey. The data provided are: social security number, name, month and year of birth, race and sex. No determinations affecting individual respondents are made as a result of this routine use. (2) Publications resulting from the use of the records in this system do not contain data that could identify any particular establishment or individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copy, punch card, magnetic tape, and microfilm.

Retrievability: Unique serial identification numbers internal to the Bureau of the Census.

Safeguards: All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, U.S.C. governing the confidentiality of the data.

Retention and disposal: Retention and disposal practices are in accordance with approved GSA schedules. Generally, records are retained for periods of 5 to 7 years, unless a longer period is necessary for statistical purposes or for permanent archival retention.

System manager(s) and address: Director, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Systems exempted from certain provisions of the act:

Pursuant to 5 U.S.C., 552a(k)(4), this record is exempted from the notification, access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as the data are maintained by the Bureau of the Census solely as statistical records as required under Title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance to agency rules published in the rules section of this Federal Register.

COMMERCE/CENSUS–4

System name: Minority-Owned Business Enterprises Survey Records—COMMERCE/CENSUS–4.

System location: National Archives and Records Service, Washington National Records Center, Washington, D.C. 20409 and General Services Administration, Federal Records Center, Suitland, Maryland 20233 and Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Categories of individuals covered by the system: Female and minority persons who are sole proprietors, partners, or shareholders of small business corporations.

Categories of records in the system: Name, social security number, sex, race, whether Spanish surname, receipts of business, geographic area, legal form of business. Name and social security number are deleted from partners and stockholders once other data are coded. Data include number, geographic dispersion, and economic characteristics of minority business enterprises.

Authority for maintenance of the system: 13 U.S.C. 131 and 132.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These data maintained by the Bureau of the Census are used solely for statistical purposes. Publications do not contain data that could identify any particular establishment or individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copy and magnetic tape.

Retrievability: Filed by name and social security number.

Safeguards: All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, U.S.C. governing the confidentiality of the data.

Retention and disposal: Records are retained in accordance with the unit's Records Control Schedule.

System manager(s) and address: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(4), this record is exempted from the notification, access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as the data are maintained by the Bureau of the Census solely as statistical records as required under Title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance to agency rules published in the rules section of this Federal Register.

COMMERCE/CENSUS–5

System name: Population and Housing Census Records of the 1960 and subsequent Censuses—COMMERCE/CENSUS–5.

System location: Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census 1201 East 10th Street, Jeffersonville, Indiana 47103.

Categories of individuals covered by the system: All persons counted during the Censuses of Population and Housing taken in 1960 and later.

Categories of records in the system: Records contain population information on age; sex; race or color; Marital status and family relationships; citzenship and ethnic origin; education and veteran status, income, occupation and employment; and housing information on occupancy, vacancy, utilization, plumbing, structural and fianancial characteristics and equipment, fuels and appliances, and similar social, economic, and demographic characteristics.

Authority for maintenance of the system: 13 U.S.C. 141.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are maintained and used solely for statistical purposes and are confidential

under 13 U.S.C. 8 and 9. Publications do not contain data that could identify any particular establishment or individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microform, paper copy, magnetic tape, punch cards.

Retrievability: Information is retrieved by the use of unique serial identification numbers internal to the Bureau of the Census.

Safeguards: All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. employees are also regularly advised of the regulations issued pursuant to title 13, U.S.C. governing the confidentiality of the data.

Retention and disposal: Records are retained in accordance with the unit's Records Control Schedule.

System manager(s) and address: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C., 552a(k)(4), this record is exempted from the notification, access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as data are maintained by the Bureau of the Census solely as statistical records as required under title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance to agency rules published in the rules section of this Federal Register.

COMMERCE/CENSUS–6

System name: Population Census Personal Service Records for 1900 and All Subsequent Decennial Censuses—COMMERCE/CENSUS–6.

System location: Bureau of the Census, Personal Census Services Branch, Pittsburg, Kansas 66762.

Categories of individuals covered by the system: All persons ever counted during decennial censuses of population (1900–1970).

Categories of records in the system: Name, address, relationship to head of household, date of birth, marital status, occupation and education data, race of household members, and other similar characteristics as reported in each census.

Authority for maintenance of the system: 13 U.S.C. 8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records may be considered as statistical records pursuant to 5 U.S.C. 552(a), as they were originally collected for statistical purposes, and are now maintained to perform searches at the request of subject individual under procedures published in the 15 CFR Part 60 and in accordance with 13 U.S.C. 8 to provide proof of age, citizenship, proof of relationship, and limited use for genealogical purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microform.

Retrievability: Indexed by numerical coding of surname on SOUNDEX system and by township, county, and state.

Safeguards: All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, U.S.C. governning the confidentiality of the data.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(4) this record is exempt from the notification access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as data are maintained by the Bureau of the Census as statistical records as required by Title 13, U.S. Code and are not used by the Bureau in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance with the Department's rules which appear in 15 CFR Part 4b.

COMMERCE/CENSUS–7

System name: Special Censuses of Population Conducted for State and Local Government—COMMERCE/CENSUS–7.

System location: Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census, 1201 East 10th Street, Jeffersonville, Indiana 47103.

Categories of individuals covered by the system: Residents counted in the area requesting a census.

Categories of records in the system: Address, name, age, race, sex, relationship to head of household, and occasionally other related social, economic, and demographic characteristics.

Authority for maintenance of the system: 13 U.S.C. 8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These data maintained by the Bureau of the Census are used solely for statistical purposes. Publications do not contain data that could identify any particular establishment or individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, paper copy.

Retrievability: Records are retrieved by name and address.

Safeguards: All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, U.S.C. governing the confidentiality of the data.

Retention and disposal: Tapes retained for 90 days after processing, then erased, paper copy is retained for 2 years, then destroyed.

System manager(s) and address: Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552(a)(k)(4) this record is exempt from the notification access and contest requirements of the agency procedures (under 5 U.S.C. 552(a)(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as the data are maintained by the Bureau of the Census solely as statistical records as required under Title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance to agency rules published in the rules section of this Federal Register.

COMMERCE/ITA–1

System name: Individuals Identified in Export Transactions—COMMERCE/ITA–1.

System location: Office of Export Administration, ITA, U.S. Department of Commerce, 14th St. and Constitution Ave., NW., Washington, D.C. 20230.

Categories of individuals covered by the system: a. Individuals involved in export transactions. Information is maintained on domestic and foreign companies and business officials, and includes U.S. citizens involved with or working for firms abroad. b. Individuals identified in an export administration compliance proceeding or investigation. Individuals alleged to have violated the Export Administration regulations; established violators of the regulations; certain other individuals identified by the FBI or other investigating agency or individual in the investigative process such as those involved in organized crime; and individuals who have received warning letters.

Categories of records in the system: Reports and cables from U.S. foreign service posts. Reports from F.B.I., other law enforcement or investigative agencies, investigators, or informants; investigative and intelligence data; documented violations; warning letters. Includes any information on alleged or proven violators of the Export Administration Act.

Authority for maintenance of the system: Export Administration Act of 1979 (Public Law 96–72, 50 U.S.C. App. et seq.). 5 U.S.C. 301, 28 U.S.C. 533–535, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1–5 and 8–13 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Information filed by case or subject file. All names are cross-referenced by name card file.

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: Retained for a reasonable period of time. Disposition is recorded.

System manager(s) and address: Director, Compliance Division, Office of Export Administration ITA, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure: Information may be obtained from: Privacy Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name, address, and case or subject, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing intial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Individual exporters, those authorized by the individual exporters to furnish information, trade sources, investigative agencies, intelligence, investigative and other personnel of the Office of Export Administration, informants, CIA, FBI, Justice Department, Defense Department, Energy Department, and State Department.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(j)(2), all information about an individual in the record which meets the criteria stated in 5 U.S.C. 552a(j)(2) are exempted from the notice, access and contest requirements of the agency regulations and from all parts of 5 U.S.C. 552a except subsections (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i), and pursuant to 5 U.S.C. 552a(k)(1) and (k)(2) on condition that the 5 U.S.C. 552a(j)(2) exemption is held to be invalid, all investigatory material in the record which meets the criteria stated in 5 U.S.C. 552a (k)(1) and (k)(2) are exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations because of the necessity to exempt this information and material in order to accomplish this law enforcement function of the agency, to prevent subjects of investigation from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information, and to avoid endangering these sources and law enforcement personnel. Section 12(c) of the Export Administration Act of 1979 also protects certain of this information and material related to export licenses from disclosure.

COMMERCE/ITA–2

System name: Individuals Involved in International Business Trade Complaints—COMMERCE/ITA–2.

System location: Office of Export Marketing Assistance, ITA, U.S. Department of Commerce, 14th St. and Constitution Ave., NW., Washington, D.C. 20230.

Categories of individuals covered by the system: Individuals filing trade complaints (business disputes) against foreign firms, or against whom foreign firms file complaints through U.S. Embassies.

Categories of records in the system: Complaint and supporting documentation, record of the handling and disposition of the complaint, and third party information (bank references, information obtained from other parties to the transaction, and commercial contacts of the individual).

Authority for maintenance of the system: 15 U.S.C. 1512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1–5, 9 and 13 of the Prefatory Statement. Also foreign governments obtain information on the disputants in order to check reliability of the firms involved, and foreign firms involved in the dispute obtain information. This information is supplied to the foreign governments and foreign firms through the Department of State. The Department of State also uses information to check the credibility of the foreign firms involved in a dispute. Information is released to other executive branch agencies, e.g., SBA, USDA, when a party to the dispute falls within their area of jurisdiction in an attempt to solve the dispute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Name of American party to the dispute.

Safeguards: Metal cabinets with bar and combination lock.

Retention and disposal: Permanent.

System manager(s) and address: Director, Office of Export Marketing Assistance, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure: Information may be obtained from: Privacy Act Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name of individual and name of American party to the dispute pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, those authorized by the individual to furnish information, the complainant, banks, commercial contracts, and other parties to the transaction.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(1), material which is classified is exempted from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f), to prevent disclosures detrimental to national defense or foreign policy.

COMMERCE/ITA–3

System name:

Mission Directors/Seminar Chairpersons/Industry Technical Representatives—COMMERCE/ITA–3.

System location: Office of Export Promotion, ITA, 14th St. and Constitution Ave. NW., U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system: Individuals who are Directors of Department of Commerce U.S. Trade Missions, Chairpersons of U.S. Government Seminar Missions, and Industry Technical Representatives of Department of Commerce Catalog Exhibitions and Video/Catalog Exhibitions.

Categories of records in the system: Home address, date and place of birth, photographs, brief career history, citizenship, and passport numbers.

Authority for maintenance of the system: Delegation of Authority, dated June 25,1962 from United States Information Agency under Section 5(e) of Executive Order 11034 of June 25, 1962, as amended by Executive Order 11380 of November 8, 1967, insofar as said delegation pertains to U.S. Participation in trade missions abroad under the Mutual Educational and Cultural Exchange Act of 1961, as amended (22 U.S.C. 2451 et seq.).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: General routine uses 1–5, 9 and 13 apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability: By promotion theme of trade event, location of trade event and individual's name.

Safeguards: Records are locked in lockable metal file cabinets or in metal file cabinets in secured rooms or premises with access limited to those whose official duties require access.

Retention and disposal: File is retained for three years and then destroyed.

System manager(s) and address: Director, Special Promotions Division, Office of Export Promotion, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure:

Information may be obtained from: Privacy Act Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name and location of trade mission and individual's name pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories: .

Subject individual, and individual's company, and those authorized by the individual to furnish information.

COMMERCE/ITA–4.

System name:

Membership Information: District Export Councils—COMMERCE/ITA–4.

System location:

U.S. Commercial Service, ITA, 14th St. and Constitution Ave. NW., U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system:

Present, former and potential members of the District Export Councils.

Categories of records in the system:

Address, date and place of birth, brief career history, education, special qualifications for appointment, and record of appointment. Miscellaneous material such as photographs, press releases and resumes are maintained on some members.

Authority for maintenance of the system:

15 U.S.C. 1512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs 1-5 and 9, 12, and 13 of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by council and name of individual.

Safeguards:

Records are located in lockable metal file cabinets or in metal cabinets in secured rooms or premises with access limited to those whose Official duties require access.

Retention and disposal:

Retained for active councils. Retired when councils terminate or when individuals leave councils.

System manager(s) and address:

Deputy Assistant Secretary for the U.S. Commercial Service, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure:

Information may be obtained from: Privacy Act officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name of individual and council pursuant to the inquiry provisions of the Department's Ruies which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, individual's company, and persons nominating the individual for council membership.

COMMERCE/ITA-5

System name:

National Defense Executive Reserve Personnel Folders—COMMERCE/ITA-5.

System location:

Office of Industrial Mobilization and Office of Export Administration, ITA, 14th and Constitution Ave., N.W., U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system:

Individuals from the business community selected to assume responsibility for industrial production, construction, and distribution in the event of national emergencies.

Categories of records in the system:

Name; home address; photograph; brief career history; names of close relatives; marital status; previous government experience; previous residences; current and recent past employment and approximate earnings; citizenship; social security number; business and residence telephone numbers; security clearance; statement of understanding; request for appointment; secrecy agreement; sex; date and place of birth; military and civil defense obligations; education; and professional and other memberships.

Authority for maintenance of the system:

E.O. 11179 of September 22, 1964.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs 1-5, 9, 12, and 13 of Prefatory Statement. Transferring data to the Federal Emergency Management Agency pursuant to E.O. 11179.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper forms, index cards, word processor diskettes, and magnetic tape.

Retrievability:

Paper forms and index cards are filed alphabetically by individual's name. Data on magnetic tape is retrieved by serial number. Data on word processor diskettes also retrieved alphabetically by individual's name.

Safeguards:

Records are located in lockable metal file cabinets or in secured rooms or premises with access limited to those whose official duties require access.

Retention and disposal:

Retained until two years after individual's resignation or death and then discarded.

System manager(s) and address:

Director, Office of Industrial Mobilization, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

Emergency Planning Officer, Office of Export Administration, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure:

Information may be obtained from: Privacy Act Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name of individual pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual and those authorized by the individual to furnish information.

COMMERCE/ITA-6.

System name:

Foreign Service Officer Evaluations—COMMERCE/ITA-6.

System location:

Foreign Commerce Service, ITA, U.S. Department of Commerce, 14th and Constitution Ave., N.W., Washington, D.C. 20230.

Categories of individuals covered by the system: Members of the Foreign Commercial Service of the United States and Foreign Service Officers of the United States (State Department) serving abroad in commercial and/or economic positions or serving domestically in the United States Government.

Categories of records in the system: (1) Memorandums, cables, letters and other documents used in the preparation of Foreign Service Commercial Officer Evaluation Reports; and (2) other documents relating to officer performance.

Authority for maintenance of the system: Foreign Service Act of 1980 (P.L. 96-465)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record in this system may be disclosed as a routine use to the Department of State in connection with the evaluation of the performance of a Foreign Service Officer. See also paragraphs 1-5 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by individual FSO's name.

Safeguards: Records are located in lockable metal file cabinets in premises with access limited to those whose official duties require access.

Retention and disposal: Documents relating to officer performance are retained until retirement, resignation, or death of the individual and then retired or destroyed, as appropriate.

System manager(s) and address: Director General of the Foreign Commercial Service, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure: Information may be obtained from: Privacy Act Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide his name pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, and supervisors of those individuals.

COMMERCE/IATC-1.

System name: Auditor Trainee Registrants—COMMERCE/IATC-1.

System location: Office of Administrative Services, Records Management Division, U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system: Individuals who had registered as an enrollee at the Interagency Auditor Training Center.

Categories of records in the system: Name; date of birth; social security number; phone; address; occupation; position; grade level; and education.

Authority for maintenance of the system: Government Employees Training Act of 1958; Executive Order 11348, April 20, 1976; and Intergovernmental Cooperation Act of 1968 (P.L. 90-557).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs 1-5 and 9-13 of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Indexed by name and year of attendance.

Safeguards: Records are located in secured premises with access limited to those whose official duties require access.

Retention and disposal: Records will be disposed of in accordance with the Office's Records Control Schedule.

System manager(s) and address:

Director, Office of Administrative Services, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure:

Information may be obtained from: address same as above. Requester should provide name and dates of attendance pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: Director, Office of Organization and Management Systems, OS, Department of Commerce, Washington, D.C. 20230.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals and those authorized by the individual to furnish information.

COMMERCE/MBDA-1

System name: Descriptive Data Questionnaire—COMMERCE/MBDA-1

System location: James H. Lowry and Associates, Suite 1340, 303 East Wacker Drive, Chicago, Illinois 60601.

Categories of individuals covered by the system: Students and business managers and entrepreneurs surveyed on a voluntary basis as part of the study of business management development needs of minorities.

Categories of records in the system: Age, sex, ethnic origin, education, company data, assessment of career and goals, organizational affiliation(s), personal performance evaluation, opinions of career opportunities/impediments.

Authority for maintenance of the system: Executive Order 11625.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The James H. Lowry Associates, specifically the Project Manager and an administrative staffer, will use this information to identify those areas which MBDA's business management development program should address.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copy in file folders for 60 days; then converted to magnetic tape.

Retrievability: By site code.

Safeguards: Records are located in company vault with access limited to those whose official duties require access. Only two James H. Lowry and Associates employees will have access.

Retention and disposal: Survey information will be destroyed September 30, 1982.

System manager(s) and address: Assistant Director for Planning, Budget and Evaluation, MBDA, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure: Information may be obtained from Deputy Chief Counsel, MBDA, U.S. Department of Commerce, Washington, D.C. 20230.

Record access procedures: Requests from individuals should be addressed to same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual and those authorized by the individual to furnish information.

COMMERCE/NBS-1.

System name:

NBS Guest Workers—COMMERCE/NBS-1

System location:

Personnel Division, National Bureau of Standards, U.S. Department of Commerce, Washington, D.C. 20234.

Categories of individuals covered by the system:

Guest workers pursuing individual scientific or technical projects.

Categories of records in the system:

Agreement between NBS and guest worker; name; citizenship; social security number; supervisor; arrival and departure dates; date of security assurance; conditions; and facilities to be made available.

Authority for maintenance of the system:

27 Stat. 395 and 31 Stat. 1039.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs 1-10 and 13 in the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are located in lockable metal file cabinets with access limited to those whose official duties require access.

Retention and disposal:

The records are disposed 5 years after guest worker terminates.

System manager(s) and address:

Personnel Officer, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

Notification procedure:

Information may be obtained from: Deputy Director of Administration, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and approximate date of affiliation, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, those authorized by the individual to furnish information, and operating officials making the facilities available.

COMMERCE/NBS-2

System name:

Inventors of Energy-Related Processes and Devices—COMMERCE/NBS-2

System location:

Office of Energy-Related Inventions, National Engineering Laboratory, National Bureau of Standards, Washington, D.C. 20234.

Categories of individuals covered by the system:

Inventors submitting ideas for evaluation by NBS.

Categories of records in the system:

Name, address, and telephone number of the persons submitting ideas or inventions for evaluation.

Authority for maintenance of the system:

88 Stat. 1894.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to the routine use paragraphs 1–10 and 13 in the Prefatory Statement, the information is used in correspondence with the inventor or person submitting the invention for evaluation and submitter-designated interested third parties, in the evaluation of technical and commercial feasibility, in reports to the Department of Energy, and in development of statistical and analytical data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and machine-readable.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are located in lockable metal file cabinets; access to all files is restricted to those persons requiring access for evaluation or administrative purposes and who have permission pursuant to a written contract or agreement with NBS, or have written authorization of the legal advisor; an exception to this would be a valid request made under the Freedom of Information Act for information that is not 1) a trade secret or 2) commercial or financial information that is privileged or confidential and therefore falling within the exemption set out in the Act, 5 U.S.C. 552(b)(4).

Retention and disposal:

Currently all records are retained indifinitely.

System manager(s) and address:

Chief, Office of Energy-Related Inventions, National Engineering Laboratory, National Bureau of Standards, Washington, D.C. 20234.

Notification procedure:

Information may be obtained from: Deputy Director of Administration, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and additional factual data as appropriate, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals and those authorized by the individual to furnish information.

COMMERCE/NBS-3

System name: Research Associates—COMMERCE/NBS-3.

System location: Office of the Director, Administration Building, National Bureau of Standards, U.S. Department of Commerce, Washington, D.C. 20234.

Categories of individuals covered by the system: Research Associates.

Categories of records in the system: Personal history statement, conflict of interest statement.

Authority for maintenance of the system: 27 Stat. 395 and 31 Stat. 1039.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1–5, 9, and 13 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards: Records are located in lockable file cabinets with access limited to those whose official duties require access.

Retention and disposal: Records are transferred from an active to terminated section of the files at conclusion of individual's service as a research associate and are retained in accordance with the unit's Records Control Schedule.

System manager(s) and address: Industrial Liaison Officer, Office of the Director, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

Notification procedure: Information may be obtained from: Deputy Director of Administration, Room 1105, Administration Bldg., National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and approximate date of affiliation, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual and those authorized by the individual to furnish information.

COMMERCE/NBS-4

System name: Employees External Radiation Exposure Records—COMMERCE/NBS-4.

System location: Health Physics, Occupational Health and Safety Division, National Bureau of Standards, Washington, D.C. 20234.

Categories of individuals covered by the system: Individuals working with radioactive materials and machines who may be exposed to ionizing radiation.

Categories of records in the system: Name, social security number, date of birth, organizational unit, and amount of radiation received.

Authority for maintenance of the system: 42 U.S.C. 2201 and 68 Stat. 950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1, 3, 4, 5, 6, and 9 in the Prefatory Statement. Also, film from badges is sent monthly to the U.S. Army for determination of amount of radiation exposure.

Information involving exposure levels, incidents, and amounts of overexposure is required to be submitted to the Nuclear Regulatory Commission. In the event of serious overexposure, information would be disclosed to the Bethesda (Maryland) Naval Medical Center, employee's family physician, and other appropriate medical authorities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders, film, and/or machine-readable.

Retrievability: Filed alphabetically by name.

Safeguards: Manual records are located in lockable metal file cabinets with access limited to those whose official duties require access. Machine-readable records are accessible only with terminals under the administrative control of the Health Physics Unit of the Occupational Health and Safety Division.

Retention and disposal: Currently, records are retained indefinitely.

System manager(s) and address: Chief, Health Physics, Occupational Health and Safety Division, National Bureau of Standards, Washington, D.C. 20234.

Notification procedure: Information may be obtained from: Deputy Director, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name, social security number, and date of employment, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rule for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals and U.S. Army.

COMMERCE/NBS–5

System name:

Nuclear Reactor Operator Licensees File—COMMERCE/NBS–5.

System location:

Reactor Radiation Division, National Measurement Laboratory, National Bureau of Standards, Washington, D.C. 20234.

Categories of individuals covered by the system:

NBS employees who are licensed as Nuclear Reactor Operators, those whose applications for licenses are being processed, and those whose licenses have expired.

Categories of records in the system:

These records contain information relating to the application for a Nuclear Reactor Operator's license, certification of competency, certification of medical history, results of medical examination and related correspondence, reactor operator examination and examination results, records of training, and license or denial letter.

Authority for maintenance of the system:

Sections 107, 161(i), Atomic Energy Act of 1954 as amended, 42 U.S.C. 2137, and 2021(i), 15 U.S.C. 272.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in these records may be disclosed: To the Nuclear Regulatory Commission for the purpose of conducting audits of the qualifications of reactor operators. Also see routine use paragraphs 1–6 and 9–13 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are maintained in a locked filing cabinet in a limited access building.

Retention and disposal: All records relating to an individual's license and documentation for license including requalification requirements will be retained as long as is required by the Reactor License and will thereafter either be turned over to the individual concerned or destroyed.

System manager(s) and address:

Chief, Reactor Radiation Division, National Measurement Laboratory, National Bureau of Standards, Washington, D.C. 20234.

Notification procedure:

Information may be obtained from: Deputy Director of Administration, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and additional factual data as appropriate, pursuant to the inquiry provisions of the Department's rules, which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be adressed to: same address as stated in the notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, licensed physician, employees of the Reactor Radiation Division, and those authorized by the subject individual to supply information.

COMMERCE/NBS–6

System name: Participants in Experiments, Studies, and Surveys—COMMERCE/NBS–6.

System location: Portions of the system may be located with contractors involved in the experiments, studies, or surveys, or in any one of the following locations:

National Measurement Laboratory, Room B364, Materials Bldg., NBS, Washington, D.C. 20234; Room R4011, NBS, Boulder, CO 80302;

National Engineering Laboratory, Room B117, Technology Bldg., NBS, Washington, D.C. 20234.

Institute for Computer Sciences and Technology, Room A200, Administration Bldg., NBS, Washington, D.C. 20234.

For those portions located with contractors, a complete list of contractors and addresses is available from the Deputy Director for Information Systems, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

Categories of individuals covered by the system: Individuals who have voluntarily applied to serve or who have served as participants in socio-economic, technical, or psychological experiments, studies and surveys undertaken in furtherance of authorized research activities.

Categories of records in the system: Name, age, birth date, place of birth, sex, race, home address and telephone number, business address and telephone number, education, income, occupation, family size and composition, patterns of product use, drug sensitivity data, medical, dental and physical history information, and such other information as is necessary, to be determined by the subject matter and purpose of the experiment, study or survey, including data derived from participants' responses during the course of the authorized research.

Authority for maintenance of the system: 15 U.S.C. 271 et. seq.; 29 U.S.C. 651 et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in the system may, on occasion, be disclosed to Federal agencies and other outside organizations which have sponsored the research in connection with which the data were obtained. General routine use paragraphs 5, 9, and 13 of the Prefatory Statement also apply to this system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders, electromagnetic storage material and microform.

Retrievability: Filed alphabetically by name, or control number or other code identifier.

Safeguards: During business hours the records at NBS sites are maintained in a secured building with access limited to those whose official duties require access; during non-business hours, the records are in secured rooms with access controlled by security guards. Any records maintained by contractors will be maintained in similar fashion in accordance with contractual specifications.

Retention and disposal: Retained in accord with NBS's records control schedule.

System manager(s) and address: Director, National Engineering Laboratory, Room B117, Technology Bldg., NBS, Washington, D.C. 20234.

Notification procedure: Information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name, approximate date, and title of experiment, study or survey pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: Same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and for appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals and those authorized by the individual to furnish information.

COMMERCE/NBS–7

System name:

NBS Emergency Locator System—COMMERCE/NBS–7

System location:

National Bureau of Standards, Gaithersburg, Maryland: Physical Security Office, Fire Protection Service Office, Health Physics Unit Office; National Bureau of Standards, Boulder, Colorado: Guard Office, Deputy Security Office, homes of Department of Commerce management officials having overall responsibility for the protection of personnel, buildings, and equipment.

Categories of individuals covered by the system:

NBS employees and other individuals utilizing NBS facilities.

Categories of records in the system:

Names and home telephone numbers.

Authority for maintenance of the system:

5 U.S.C. 301, 15 U.S.C. 278e, 40 U.S.C. 490(d).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Home telephone numbers will be used by the Department of Commerce staff to contact NBS employees or individuals using NBS facilities in the case of an emergency (e.g., fire, explosion, power outage, heavy snow). Those contacted will typically be scientists or engineers whose experiments might be affected by such an emergency or other employees who will be required to deal with the emergency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and machine-readable.

Retrievability:

Building and room number; organizational code.

Safeguards:

Paper records will be kept in lockable file cabinets with limited access; machine-readable records will have limited access with security key required.

Retention and disposal:

Records will be updated every 6 months or more frequently.

System manager(s) and address:

Chief, Facilities Services Division, Office of the Director of Administrative and Information Systems, NBS, Washington, D.C. 20234; Staff Services Officer, Boulder Executive Office, Radio Building, Room 4011, NBS, Boulder, Colorado 80303.

Notification procedure:

Information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and building location or organizational unit.

Record access procedures:

Requests from individuals should be addressed to: Same address as stated in the Notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and for appealing initial determinations by the individual concerned appear at 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals and those authorized by the individual to furnish information.

COMMERCE/NOAA-1

System name: Applicants for the NOAA Corps—Commerce/NOAA-1.

System location: Office of the Director, NOAA Corps, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

Categories of individuals covered by the system: Applicants for appointment in the NOAA Corps.

Categories of records in the system: Name, social security number, letters of reference, physical examinations, college transcripts, statements of prior military service, recruiting officer's appraisal, personal resumes, and similar data necessary to be considered for a commission in the NOAA Corps.

Authority for maintenance of the system: 33 U.S.C. 853i; 853j; 853j-1; 853t; 854; 854a-1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs of Prefatory Statement. General routine use No.12 does not apply. Also to respond to the applicant, Members of Congress, or others with a valid interest who may inquire as to the status of the application or who may request reconsideration of a rejected application.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards: Records are maintained in secured room. Access only on the authority of the Director, NOAA Corps or the Chief/Deputy Chief, Commissioned Personnel Division.

Retention and disposal: Destroyed after approximately six months if rejected, unless applicant indicates a desire for reconsideration.

System manager(s) and address: Director, NOAA Corps, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name, address, social security number, and date of birth, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals, personal references, the NOAA Corps officer who recruited the individual, and those authorized by the individual to furnish information.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(5), all investigatory material in the record which meets the criteria of 5 U.S.C. 552a(k)(5) is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine applicant's suitability for employment in the NOAA Corps.

COMMERCE/NOAA-2

System name: Commissioned Officers Official Travel Orders Folders—COMMERCE/NOAA-2.

System location: Office of the Director, NOAA Corps, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

Categories of individuals covered by the system: Commissioned officers of the NOAA Corps (active, retired, and deceased) and former officers separated within previous six months.

Categories of records in the system: Name, grade, social security number, estimated travel cost, dates of transfer, assignment locations, and type of duty.

Authority for maintenance of the system: 37 U.S.C.; 33 U.S.C. 857-5, 857a, 855

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs of the Prefactory Statement. General Routine uses No.6 and No.12 do not apply. Also the record is sent to the organization to which officer is assigned such as branches of the U.S. Military service, branches of foreign military services, World Weather Organization, etc., to authorize travel and travel allowances and to effect assignments and assignment changes for commissioned officers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards: Records are maintained in a locked space. Access only on the authority of the Director, NOAA Corps, or the Chief/Deputy Chief, Commissioned Personnel Division.

Retention and disposal: Retained as separate file on all active duty officers. Incorporated into the Official Personnel File of retired and deceased officers and retained. Incorporated into the Official Personnel File of separated officers and after six months transferred to the National Personnel Records Center, St. Louis, Missouri 63118.

System manager(s) and address: Director, NOAA Corps, see above address.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide full name, social security number, date of birth, and dates of service, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual's Official Personnel Record and from the approved recommendations of the Officer Assignment Board.

COMMERCE/NOAA–3

System name: Commissioned Officer Official Personnel Folders—COMMERCE/NOAA–3.

System location: Office of the Director, NOAA Corps (NC), National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

Categories of individuals covered by the system: Commissioned Officers of the NOAA Corps (active, retired, and deceased) and former commissioned officers separated within previous six months.

Categories of records in the system: Name, social security number; selective service number; promotion history; history of assignments; performance evaluations; date of birth; education; prior employment history; prior uniformed service; pay and allowance data; relatives; references; commendations; discipline; insurance; medical evaluations; and similar personal information.

Authority for maintenance of the system: 33 U.S.C. 853a–t, 854a–a-2, 855, 856, 857, 857–1–5, 857a, 858, 864, 865, 872, 873, 874, 875, 876; 5 U.S.C. 301; 28 U.S.C. 533–535; 44 U.S.C. 3101; and, E.O. 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs of the Prefactory Statement. Users are Selective Service System, Veterans Administration, Federal Housing Administration, Social Security Administration, Public Health Service, Department of Defense elements, Taxing authorities (Federal, State and local), unemployment compensation authorities, and the organization to which officer is assigned such as branches of U.S. Military Service, branches of foreign military services, World Weather Organizations, etc. Selected information is disseminated to determined eligibility for retention, promotion, retirement, separation, and other personnel actions; physical fitness; entitlement to pay and various allowances; report taxes withheld; entitlement to social security benefits, Veterans benefits, unemployment compensation, waivers for repayment of student loans, death benefits, survivor benefits, and FHA in-service loans; assignments; and selective service status.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders, (selected data elements in this system are duplicated on word processing equipment for ease of retrieval).

Retrievability: Filed alphabetically by name.

Safeguards: Records are maintained in secured area. Access only on the authority of the Director, NOAA corps or the Chief/Deputy Chief, Commissioned Personnel Division.

Retention and disposal: Records retained indefinitely on active, retired, and deceased officers; discharged officer's records are retained for approximately 6 months, then transferred to the National Personnel Records Center St. Louis, Missouri 63118.

System manager(s) and address: Director, NOAA Corps, see above address.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name, address, social security number. and date of birth pursuant to the inquire provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individuals concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, official correspondence and forms generated by routine personnel actions, previous employers, prior military service, Selective Service System, Federal Housing Administration, Social Security Administration, and similar sources.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(5), all investigatory material in the record which meets the criteria of 5 U.S.C. 552a(k)(5), is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine employee's suitability for employment in the NOAA Corps.

COMMERCE/NOAA–4

System name: Commissioned Officers Retired Payroll—COMMERCE/NOAA–4.

System location: Office of the Director, NOAA Corps, NOAA, Rockville, Md. 20852.

Categories of individuals covered by the system: Commissioned officers of the NOAA Corps who are entitled to retired pay, and the survivors of deceased active duty and retired officers who are entitled to a survivor's annuity.

Categories of records in the system: Name, social security number; amount of gross retired pay or survival annuity; amount of federal income tax withheld; amount of VA reduction; amount of survivor benefit cost deducted; miscellaneous deductions; and net retired pay or annuity.

Authority for maintenance of the system: 33 U.S.C. 853a–h; 853j–1–t; 854a–2; 856; 857–2; 857–5; 872; 873. Authorities for Payroll Records: 5 U.S.C. 301; 552; Chap. 55; 31 U.S.C. 550; 628; 31 U.S.C. 52; 15 U.S.C. 1511; 37 U.S.C. 201 (Pay for Commissioned Officers); 5 App. Reorg. Plan No. 4 of 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs of Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual, flat-paper computer print-out.

Retrievability: Filed by month and year.

Safeguards: Records are maintained in a secured area. Access only by authority of the Director, NOAA Corps or the Chief, Program Planning, Liaison and Training Division.

Retention and disposal: Retained 3 years and then destroyed.

System manager(s) and address: Director, NOAA Corps, see above address.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide full name, grade, social security number and branch of service pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Information is a print-out from the computerized retired pay system maintained by the Commanding Officer, U.S. Navy Finance Center, 240 East Ninth Street, Cleveland, Ohio 44199, who maintains, under contract, the pay accounts of retired NOAA Corps officers and their annuitants.

COMMERCE/NOAA–5

System name: Fisheries Law Enforcement Case Files—COMMERCE/NOAA–5

System location: Enforcement Division, NMFS, 3300 Whitehaven Street NW., National Oceanic and Atmospheric Administration, U.S. Department of Commerce, Washington D.C. 20235.

Categories of individuals covered by the system: Violators and alleged violators of the criminal and/or civil provisions of certain laws (listed in the Authority section of this notice) and the regulations issued thereunder, within the responsibility of the Secretary of Commerce.

Categories of records in the system: 1. Information compiled for the purpose of identifying individual criminal and/or civil offenders and alleged offenders and consisting of identifying data and notations of arrests, the nature and disposition of criminal or civil charges, sentencing, confinement, release, parole and probation status, and fines and penalties assessed;

2. Information compiled for the purpose of a criminal or civil investigation, including reports of informants and investigators, and associated with an identifiable individual;

3. Reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal and civil laws from arrest or indictment through release from supervision, and the imposition of civil sanctions through administrative and/or judicial process; and

4. Investigatory material compiled for law enforcement purposes other than the material covered above.

Authority for maintenance of the system: Reorganization Plan No. 4 of 1970; 5 U.S.C. 301; 28 U.S.C. 533–535; 44 U.S.C. 3101; E.O. 10450; Certain sections of Titles 15, 16, 18, and 22 of the United States Code; and relevant treaty, international convention, and/or agreements of which there are approximately 20. (Example: International Convention for the Regulation of Whaling (TIAS 1849) cf. 16 U.S.C. 916).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1–5, 8–10, and 13 of the Prefatory Statement. Also, information is given to the Marine Mammal Commission for their use in making recommendations on the issuance of permits and the award of grants under the Marine Mammal Protection Act of 1972.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Both manual and machine-readable, and computer output records in file folders.

Retrievability: Filed alphabetically by individual's name and is also given an identifying case number at its initiation.

Safeguards: Employees are informed of the Departmental rule of conduct regarding unauthorized disclosure of information contained in official records. All Special Agents receive a security clearance, granted by the Department of Commerce, after an investigation. The files of the Law Enforcement Division which relate to information concerning an identifiable individual are maintained in locked, metal file cabinets. Automated records are maintained in premises with access limited to those whose official duties require access.

Retention and disposal: All records of this Division are subject to the retention and disposal procedures set forth in NOAA Directives Manual 62–10, et seq.

System manager(s) and address: Chief, Enforcement Division, National Marine Fisheries Service, National Ocenic and Atmospheric Administration, U.S. Department of Commerce, 3300 Whitehaven Street, NW., Page Building 2, Suite 426, Washington, D.C. 20235.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name, address, and case number pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories: Subject individual and those authorized by the individual to furnish information; NMFS investigators; Federal and state law enforcement personnel; foreign governments; special interest organizations, members of the general public, and all information sources that are open to the public-at-large.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(j)(2), all information about an individual in the record which meets the criteria stated in 5 U.S.C. 552a(j)(2) are exempted from the notice, access and contest requirements of the agency regulations and from all parts of 5 U.S.C. 552a except subsections (b), (c)(1) and (2), (e)(4(A) through (F), (e)(6), (7), (9), (10), and (11), and (i), and pursuant to 5 U.S.C. 552a(k)(2), on condition that the 5 U.S.C. 552a(j)(2) exemption is held to be invalid, all investigatory material in the record which meet the criteria stated in 5 U.S.C. 552a(k)(2) are exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations because of the necessity to exempt this information and material in order to accomplish this law enforcement function of the agency, to prevent subjects of investigation from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information, and to avoid endangering these sources and law enforcement personnel. In addition, pursuant to 5 U.S.C. 552a(k)(1), all materials qualifying for this exemption are exempt from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) in order to prevent disclosure of classified information as required by Executive Order 12065 in the interest of the national defense and foreign policy.

COMMERCE/NOAA–6

System name: Fishermen's Statistical Data—COMMERCE/NOAA–6.

System location: Data Management and Information Systems Division, NMFS, NOAA, U.S. Department of Commerce, 3300 Whitehaven Street, NW., Washington, D.C. 20235; and the following field locations of the National Marine Fisheries Services:

Northeast Fisheries Center, Woods Hole, Massachusetts 02543
Southeast Fisheries Center, 75 Virginia Beach Drive, Miami, Florida 33149
Southwest Fisheries Center, P.O. Box 271, LaJolla, California 92038
Northwest and Alaska Fisheries Center, 2725 Montlake Boulevard, East, Seattle, Washington 98112
Northeast Regional Office, 14 Elm Street, Federal Building, Gloucester, Massachusetts 01930
Southeast Regional Office, 9450 Gandy Boulevard, St. Petersburg, Florida 33702
Southwest Regional Office, 300 South Ferry Street, Terminal Island, California 90731
Northwest Regional Office, 1700 Westlake Avenue, North, Seattle, Washington 98105
Alaska Regional Office, P.O. Box 1668, Juneau, Alaska 99802

Categories of individuals covered by the system: Marine recreational and commercial fishermen, owners/operators of registered/documented boats and vessels.

Categories of records in the system: a. Marine recreational fishermen catches by species, length, weight, area of capture, disposition of catch, and expenses and other trip records.

b. Fishery Management Plan data consist of such data as: Individual's name, address, telephone number, sex, age group, and income group, obtained in fishing censuses. Other data contain boat and vessel registration information, including owner and operator, vessel characteristics, gear types, and area fished.

Authority for maintenance of the system: a. Fish and Wildlife Act as amended (16 U.S.C. 742 et seq.). b. Fishery Conservation and Management Act of 1976 as amended (16 U.S.C. 1852).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. See routine use paragraphs 1–5, 9, and 12 of the Prefatory Statement.

b. Data in the system are required for the development and monitoring of fishery management plans.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copy, punch cards, mag-tape, and disc files.

Retrievability: Filed alphabetically by name.

Safeguards: Personnel indoctrination and screening; secured offices; and entrance into the computer system to obtain individual records would require detailed knowledge of in-house ADP procedures by a skilled computer programer.

Retention and disposal: Records are permanently maintained.

System manager(s) and address: Executive Director, National Marine Fisheries Service, 3300 Whitehaven Street, Washington, D.C. 20235.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals.

COMMERCE/NOAA–7

System name: Guest Workers at National Geophysical and Solar-Terrestrial Data Center—COMMERCE/NOAA–7.

System location: National Geophysical and Solar-Terrestrial Data Center, EDS/NOAA, RB3, Room A123, Boulder, Colorado 80302.

Categories of individuals covered by the system: People that are visiting NGSDC as Guest Workers to use the data files.

Categories of records in the system: Name; address; length of visit; type of work they are doing; and education.

Authority for maintenance of the system: 5 U.S.C. 301 and 44 U.S.C. 3301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs 1–5, 9, and 12 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards: Records are located in metal file cabinets which are locked after hours. Access is limited to those whose official duties require access.

Retention and disposal: Records are retained for 3 years.

System manager(s) and address: Administrative Officer. NGSDC, see above address.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Blvd., Rockville, Maryland 20852. Requester should provide name pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual and those authorized by the individual to furnish information.

COMMERCE/NOAA–8

System name: Individuals Engaged in Weather Modification Activities—COMMERCE/NOAA–8.

System location: Assistant Administrator for Research and Development, NOAA, U.S. Department of Commerce, 6010 Executive Blvd., Rockville, Md. 20852.

Categories of individuals covered by the system: Individuals and associations involved in weather modification operations.

Categories of records in the system: Individual's name and address; type of weather modification activity; location and duration of project; and equipment used.

Authority for maintenance of the system: P.L. 92–205; 15 CFR Part 908.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine use paragraphs in the Prefatory Statement. Also information is made available to anyone who so requests.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed sequentially by chronology.

Safeguards: Records are located in cabinets with full public access upon request.

Retention and disposal: Records are maintained indefinitely.

System manager(s) and address: Office of the Director, Office of Weather Modification, see above address.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide—name, address, date(s) of project etc., pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual or association involved and those authorized by the foregoing to furnish information.

COMMERCE/NOAA–9

System name: Scientist-Researchers in GATE (Global Atmospheric Research Program Atlantic Tropical Experiment)—COMMERCE/NOAA–9.

System location: Assistant Administrator for Research and Development, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852.

Categories of individuals covered by the system: Research meteorologists and ocean scientists participating in the Global Atmospheric Research Program Atlantic Tropical Experiment (GATE).

Categories of records in the system: Names of individual scientists; their research institutions and research programs; and their addresses.

Authority for maintenance of the system: Ministerial requirement necessitated by NOAA's appointment, as lead agency for the U.S. participation in "GATE"; Presidential memorandum dated July 5, 1968 to DOC; 5 U.S.C. 301; and 44 U.S.C 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs 1–5, 9, 12, and 13 of the Prefatory Statement. Data is also used to summarize and evaluate the U.S. GATE Research Program for the World Meteorological Organization in cooperation into the International summary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Indexed by name of principal scientist.

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secure premises with access limited to those whose official duties require access.

Retention and disposal: Records maintained indefinitely.

System manager(s) and address: Director, GATE Project Office, see above address.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Blvd., Rockville, Maryland 20852. Requester should provide—name and address, etc., pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual and those authorized by the individual to furnish information.

COMMERCE/NOAA–10

System name: NOAA Diving Program File—COMMERCE/NOAA–10.

System location: a. NOAA Diving Office, 11400 Rockville Pike, Rockville, Maryland 20852.

b. For Atlantic Marine Center personnel, duplicate records are maintained at the Atlantic Marine Center, 439 West York Street, Norfolk, Virginia 23510.

c. For Pacific Marine Center personnel, duplicate records are maintained at the Pacific Marine Center, 1801 Fairview Avenue, East, Seattle, Washington 98102.

Categories of individuals covered by the system: Applicants for the diving program and NOAA employees who are NOAA certified Divers.

Categories of records in the system: Diving physical examinations, verification of completed scuba instruction, NOAA scuba diving written examination, diver resume, diver evaluations, letters of certification and/or appointment, monthly diving logs, individual correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; 44 U.S.C. 3101; 16 U.S.C. 1432; 33 U.S.C. 1441, 1442.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See general routine use paragraphs numbered 1 through 6, 8 through 10, and 12 of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual and machine readable.

Retrievability: Alphabetically by surname.

Safeguards: Records are located in locked metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: Five years after termination of diver.

System manager(s) and address: For records at location a.: NOAA Diving Coordinator, 6001 Executive Boulevard, Rockville, Maryland 20852.

For records at location b.: CAM Diving Officer, Atlantic Marine Center, 439 W. York Street, Norfolk, Virginia 23510.

For records at location c.: Budget and Finance Officer, Pacific Marine Center, 1801 Fairview Avenue, East, Seattle, Washington 98102.

Notification procedure: Information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard Rockville, Maryland 20852. Requestor should provide name and address pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, the Unit Diving Officer, training officers and NOAA Diving Medical Review Board.

COMMERCE/NOAA-11

System name:

NOAA Mailing Lists—COMMERCE/NOAA-11

System location: Mailing lists are maintained at numerous NOAA installations throughout the United States. Addresses of major installations where there are mailing lists are:

Office of Publications, Main Commerce Building, 14th Street and Constitution Avenue, NW., Washington, D.C. 20230.

Headquarters:

Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852.
Director, Office of Finance, North Bethesda Office Center, 11420 Rockville Pike, Rockville, Maryland 20852.

Assistant Administrator for Fisheries:

Assistant Administrator for Fisheries, Office of Fisheries, 3300 Whitehaven Street, NW., Washington, D.C. 20235.

Director, Northwest Region, National Marine Fisheries Service, NOAA, 1700 Westlake Avenue North, Seattle, Washington, 98109.

Director, Southeast Region, National Marine Fisheries Service, NOAA, 9450 Koger Boulevard, St. Petersburg, Florida 33702.

Director, Northeast Region, National Marine Fisheries Service, NOAA, 14 Elm Street, Federal Building, Gloucester, Massachusetts 01930.

Director, Southwest Region, National Marine Fisheries Service, NOAA, 300 South Ferry Street, Terminal Island, California 90731.

Director, Alaska Region, National Marine Fisheries Service, NOAA, P.O. Box 1668, Juneau, Alaska 99802.

Chief, Resource Statistics Division, National Marine Fisheries Service, NOAA, 3300 Whitehaven Street, NW., Washington, D.C. 20235.

Chief, Scientific Publications Office, National Marine Fisheries Service, NOAA, 1107 Northeast 45th Street, Seattle, Washington 98105.

Director, Northeast Fisheries Center, NOAA, Woods Hole, Massachusetts 02543.

Director, Southwest Fisheries Center, NOAA, P.O. Box 271, LaJolla, California 92038.

Director, Charleston Laboratory, NOAA, P.O. Box 12607, Charleston, S.C. 29412.

Director, Southeast Fisheries Center, NOAA, 75 Virginia Beach Drive, Miami, Florida 33149.

Director, Beaufort Laboratory, NOAA, P.O. Box 570, Beaufort, North Carolina 28516.

National Ocean Survey:

Director, National Ocean Survey, 6001 Executive Boulevard, Rockville, Maryland 20852.

Chief, Distribution Division, NOAA, Riverdale Building, 6501 Lafayette Avenue, Riverdale, Maryland 20840.

Environmental Data and Information Service:

Director, Environmental Data and Information Service, 3300 Whitehaven Street, NW., Washington, D.C. 20235.

Director, National Climatic Center, Environmental Data and Information Service, Federal Building, Ashville, North Carolina 28801.

Director, National Geophysical and Solar Terrestrial Center, Research Building 3, NOAA, 3100 Marine Street, Boulder, Colorado 80302.

National Earth Satellite Service:

National Earth Satellite Service, National Oceanic and Atmospheric Administration, Federal Building 4, Suitland, Maryland 20233.

A roster of each mailing list covered by the Privacy Act and its specific location is maintained by the system manager, address below.

Categories of individuals covered by the system:

Recipients of NOAA publications and/or other publicly available programmatic information.

Categories of records in the system:

All of the lists contain names and addresses. Some of the lists contain telephone numbers, subscription information, addressee's product and its country of origin.

Authority for maintenance of the system:

5 U.S.C. 301; 15 U.S.C. 1512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See general routine use paragraphs numbered 4, 5, and 9–13 in the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual and machine readable.

Retrievability:

Alphabetically by name.

Safeguards:

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Records are retained indefinitely; however, individuals are advised of the existence of the mailing list annually and at their request, names will be deleted or addresses corrected.

System manager(s) and address:

Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852.

Notification procedure:

Information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name and address pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual.

COMMERCE/NOAA-12

System name:

Marine Mammals, Endangered and Threatened Species, Permits and Exemptions Applicants—COMMERCE/NOAA-12

System location:

Office of Marine Mammal and Endangered Species, National Marine Fisheries Service, National Oceanic and Atmospheric Administration, U.S. Department of Commerce, Washington, D.C. 20235.

Duplicate portions of the system may be located in the Regional Offices of the National Marine Fisheries Service at:

Federal Building, 14 Elm Street, Gloucester, Massachusetts 01930.

Duval Building, 9450 Gandy Boulevard, St. Petersburg, Florida 33702.

300 South Ferry Street, Terminal Island, California 90731.

Lake Union Building, 1700 Westlake Avenue North, Seattle, Washington 98109.

P.O. Box 1668, Juneau, Alaska 99801.

Categories of individuals covered by the system:

Applicants for permits to take, import, transport or sell in interstate or foreign commerce endangered species or marine mammals either for scientific research or public display purposes; for enhancement of propagation or enhancement of survival. Applicants for exemptions from the provisions of the Marine Mammal Protection Act of 1972, on the basis of undue economic hardship. Applicants for permits to engage in activities involving threatened species.

Categories of records in the system:

Name and address; professional or business affiliation; educational and professional background; other qualifications of the individuals; the activities conducted by an individual as authorized by exemption or by permit; and economic and financial information indicating the degree of anticipated economic hardship.

Authority for maintenance of the system:

Endangered Species Act of 1973; 16 U.S.C. 1531-1543 10(a), 10(b), 11(f); Marine Mammal Protection Act of 1972; 16 U.S.C. 1361-1407, and regulations (50 CFR 216.31) promulgated thereunder.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine use paragraphs 1-5 and 9-13 of Prefatory Statement. Information from the applications is published in the Federal Register and made available to the public to comply with the statutes under which the application is made.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Both manual and machine-readable, and computer output records in file folders.

Retrievability:

Filed by file number and cross-referenced alphabetically by applicant names and permit or exemption number.

Safeguards:

Records are located in cabinets with full public access upon request.

Retention and disposal:

Records are maintained indefinitely.

System manager(s) and address: Director, Office of Marine Mammals and Endangered Species, National Marine Fisheries Service, National Oceanic and Atmospheric Administration, U.S. Department of Commerce, Washington, D.C. 20235

Notification procedure:

Information may be obtained from the Assistant Administrator for for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name and address pursuant to to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the notification procedure section above.

Contesting record procedures:

The rules for access, for contesting contents and appealing initial determination by the individuals concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual applicants; public comments on an application; reviews by NMFS Offices and, in the case of marine mammals, the Marine Mammal Commission; reports from Federal agents and observers on activities conducted under permit authority; and those authorized by the individual to provide the information.

COMMERCE/NOAA-13

System name:

Personnel, Payroll, Travel, and Attendance Records of the Regional Fishery Management Councils—COMMERCE NOAA-13.

System location:

New England Fishery Management Council, Office of the Executive Director, Suntaug Office Park, Five Broadway—Route One, Saugus, Massachusetts 01906.

Mid-Atlantic Fishery Management Council, Office of the Executive Director, Federal Building, Room 2115, North and New Streets, Dover, Delaware 19301.

South Atlantic Fishery Management Council, Office of the Executive Director, Southpark Building, Suite 306, 1 Southpark Circle, Charleston, South Carolina 29407.

Caribbean Fishery Management Council, Office of the Executive Director, Suite 806, Banco de Ponce Building, (Postal Address), P.O. Box 1001, Hato Rey, Puerto Rico.

Gulf of Mexico Fishery Management Council, Office fo the Executive Director, Lincoln Center, Suite 881, 5401 West Kennedy Boulevard, Tampa, Florida 33609.

Pacific Fishery Management Council, Office of the Executive Director, 528 S.W. Mill Street, Portland, Oregon 97201.

North Pacific Fishery Management Council, Office of the Executive Director, Suite 32, 333 West Fourth Avenue, (Postal Address), P.O. Box 3136DT, Anchorage, Alaska 99501.

Western Pacific Fishery Management Council, Office of the Executive Director, Room 1506, 1164 Bishop Street, Honolulu, Hawaii 96813.

Categories of individuals covered by the system: Members of each Regional Fishery Management Council, members of each Council's Scientific and Statistical Committee, members of each Council's Advisory Panel; each Council's staff.

Categories of records in the system: a. Personnel information including but not limited to name, birthdate, social security number, employment history, education and training, personnel actions and performance appraisals, records relating to life insurance, health benefits, and designation of beneficiary, medical records.

b. Payroll information including but not limited to marital status, mailing address, number of dependents, allotments and deductions for income tax withholding, savings bonds, charity contributions, and insurance premiums.

c. Travel orders and vouchers including data such as destination, itinerary, mode and purpose of travel, expense incurred.

d. Time and attendance data including number of regular, overtime holiday, Sunday, and other hours worked; number of hours on leave (sick, annual, holiday, etc.).

Authority for maintenance of the system: Fishery Conservation and Management Act of 1976 (P.L. 94-265, 16 U.S.C. 1852).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are used as indicated below:

a. See routine use paragraphs in Prefatory Statement 1-5, 9, 12 and 13 in Prefatory Statement.

b. When an individual to whom a record pertains dies, information in the individual's record may be disclosed to the person appointed as representative of the estate, to the person designated by the representative, or to a designated bedeficiary. When a representative of the estate has not been appointed, the next of kin may be recognized as the representative of the estate.

c. Information may be disclosed to authorize payroll deductions for allotments, savings bonds, charitable contributions, union dues, health benefits and life insurance; collect indebtedness for overpayment of salary and unpaid internal revenue taxes; pay income tax obligations to the Internal Revenue Service and state and local tax authorities, as appropriate; authorize mailing or holding salary checks or savings bonds; authorize issuing of salary checks by the Treasury Department; obtain reimbursement of travel expenses for official

business; report gross wages and separation information for unemployment compensation; pay any uncollected compensation due a deceased employee;and provide for a summary of employees payroll data and retirement contributions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders and magnetic storage media.

Retrievability: Alphabetically by name, or by social security number.

Safeguards: Physical, technical, and administrative sedcurity is maintained, with all storage equipment and/or rooms locked when not in use. Admittance is restricted to authorized personnel only. All payroll personnel, computer operators and programmers are instructed and cautioned on the confidentiality of the records.

Retention and disposal: Retained on site until after GAO audit, then either disposed of or transferred to Federal Records Storage Centers in accordance with the fiscal records program approval by GAO, as appropriate, or General Record Schedules of GSA.

System manager(s) and address: The Executive Director of each Council: address as shown under system location above.

Notification procedure: Information may be obtained from: The Executive Director of the appropriate Regional Fishery Management Council or the Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name and other identifying information pursuant to the inquiry provisions ofthe Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals, those authorized by the individual to furnish information; employee's supervior; timekeepers.

COMMERCE/NTIA-1

System name: Radio Spectrum Management Career Development Program—COMMERCE/NTIA-1.

System location: National Telecommunications and Information Administration, 1325 G Street, N.W., Washington, D.C. 20005 (paper); and 179 Admiral Cochrane Drive, Annapolis, Maryland 21401 (magnetic disc).

Categories of individuals covered by the system: Applicants for spectrum management career training; persons trained or training in the program; persons employed in the Federal spectrum management field, or seeking employment therein, who register with the program.

Categories of records in the system: Employee Career Appraisals; Career Program Qualification Records and Supplements thereto; Career Plans; Personal Qualification Statements; Federal Employment Application. These records contain information about an individual and his skills and qualifications for training which typically includes, but is not limited to, name, address, date of birth, Social Security Account Number, education, military experience, present position, employment history, performance evaluations, and career goals.

Authority for maintenance of the system: 47 U.S.C. 305, Executive Order 12046 and Reorganization Plan No. 1 of 1977.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is disclosed to participating Federal agencies upon their request in connection with the selection of candidates for training, the evaluation of trainees, and in the administration of the training program. Information is disclosed to other Federal agencies upon their request in connection with the availability of trained spectrum managers for employment. Routine uses Nos.1-5 and Nos.8-13 of the Prefatory Statement also apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Stored alphabetically by name.

Safeguards: Records are located in lockable metal file cabinets with access limited to those whose official duties require access.

Retention and disposal: Unless updated, documents are disposed of after two years.

System manager(s) and address: Coordinator, Radio Spectrum Management Career Development Program, National Telecommunications and Information Administration, U.S. Department of Commerce, Washington, D.C. 20504.

Notification procedure: Information may be obtained from: Privacy Officer, National Telecommunications and Information Administration, U.S. Department of Commerce, Washington, D.C. 20504. Requestor should provide his or her full name.

Record access procedures: Requests from individuals should be addressed to: Same address as stated in the Notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use address in Notification section, above.

Record source categories:

Applicants for spectrum management career training; trainees in the program; instructors and other officials conducting the program; Federal government employees in the spectrum management field, and persons desiring such employment, who register with the program, their supervisors, and other officials of the agencies that employ them.

COMMERCE/NTIS-1

System name: Individuals Interested in NTIS Publications, Shipped Order Addresses, Customer Account Records, and Subscriber Files—COMMERCE/NTIS-1.

System location: (Automated Data Processing Division & Document Distribution and Reproduction Division,) OFFICE OF COMPUTER AND COMMUNICATIONS SERVICE AND DOCUMENT SERVICES DIVISION, NTIS, 5285 Port Royal Road, Springfield, Va. 22161.

Categories of individuals covered by the system: All individuals who order and/or purchase products and services from NTIS and all individuals who have requested (that they be placed on the NTIS promotional mailing list) NTIS PROMOTIONAL LITERATURE.

Categories of records in the system: Name; address; items ordered; items sent; amount of purchases, date order received; date order mailed; NTIS deposit account or customer code number; total charge to date; whether acount collectible or not; categories of publications ordered by each purchaser; when subscription expired; amount on deposit.

Authority for maintenanre of the system: 15 U.S.C. 1151-57; 41 U.S.C. 104, 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records maintained in the system are disclosed to NTIS sales agents; and to individuals, organizations, Federal agencies, and State and local governments contributing publications to NTIS for their market research and sales accounting purposes, through the mechanism of providing them the names and addresses of individuals (and others) who have purchased their publications. Also see general routine uses (Nos.1 through 6, Nos.8 through 10, and No.12 of Prefatory Statement noticed in the Federal Register on October 2, 1975, (40 FR 45635), and amended on November 7, 1975 (40 FR 52074) and August 17, 1976 (41 FR 34805), Nos.4, 5, 9 and 13 OF PREFATORY STATEMENT.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders, film files, magnetic tape and disc files.

Retrievability: Filed by individual identifier such as deposit account number or credit card account number.

Safeguards: Records are located in lockable metal file cabinets or in metal tape vaults in secured rooms or premises with access limited to those whose official duties require access. THE DATA CAN ALSO BE OBTAINED AT IN-HOUSE COMPUTER TERMINALS USED BY THOSE WHOSE OFFICIAL NTIS DUTIES REQUIRE ACCESS.

Retention and disposal: Records are updated regularly and maintained indefinitely.

System manager(s) and address: Chief, (Automated Data Processing Division) OFFICE OF COMPUTER AND COMMUNICATIONS SERVICES, NTIS, (5285 Port Royal Road,) Springfield, Va. 22161.

Notification procedure: Information may be obtained from: Associate Director for Financial and Administrative Management, NTIS, ((Sills Building,)) Springfield, Va. 22161. Requester should provide name and address in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals and NTIS transaction files.

COMMERCE/NTIS-2

System name: Employee Daily Time and Production Reports—COMMERCE/NTIS-2.

System location: Reports and Analysis Division, National Technical Information Service, Springfield, Va. 22161, and individual NTIS supervisors and managers with respect to employees supervised and programs managed.

Categories of individuals covered by the system: Current and former NTIS employees.

Categories of records in the system: Name; social security number; organization unit; duty hours and work units processed by day and accounting project; time in duty status; time on leave; work volumes completed by individuals and by work unit.

Authority for maintenance of the system: 15 U.S.C. 1151-57, 1525-27, 31 U.S.C. 66a; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records in this system are not disclosed as a routine use to individuals or parties outside the U.S. Department of Commerce.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records and magnetic tape and disc files.

Retrievability: By name and/or employee social security number.

Safeguards: Records are located in lockable metal file cabinets, desks or secured in the Office of Computer and Communications Services with access limited to those whose specific duties require access.

Retention and disposal: Records held by individual managers and supervisors are destroyed after not more than one year; records at other system locations are retained until after GAO audit, or not longer than three years, and then transferred to GSA for disposal.

System manager(s) and address: Chief, Reports and Analysis Division, National Technical Information Service, Springfield, Va. 22161.

Notification procedure: Information may be obtained from Associate Director for Financial and Administrative Management, National Technical Information Service, Springfield, Virginia 22161. Requester should provide name, social security number and time of employment pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to same address as stated in the notification section above.

Contesting record procedures: The Department rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals; NTIS timekeeper, supervisors and managers.

COMMERCE/PAT-TM-1

System name: Attorneys and Agents Registered to Practice Before the Office—COMMERCE/PAT-TM-1.

System location: Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202, and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system: Attorneys and agents who are, or have been, registered to practice before the Patent and Trademark Office in patent cases, and applicants for such registration to practice.

Categories of records in the system: Biographical information, personal and professional qualifications, character and fitness reports, undertakings of former examiners, current address, and status information.

Authority for maintenance of the system: 35 U.S.C. 1, 6, and 31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Prefatory Statement of General Routine uses Nos.1-5 and 8-13. Also, a public roster of the registered individuals is published periodically, and limited information is disseminated by Committee on Enrollment staff in response to inquiries from members of the public (e.g.. potential clients), state bars, and courts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders and magnetic storage media.

Retrievability: Filed alphabetically by name or registration number.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Chairman, Committee on Enrollment, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name, address, and date of application, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b.

Record source categories:

Subject individual, references, and those authorized by the individual to furnish information.

COMMERCE/PAT-TM-2

System name: Complaints, Investigations and Disciplinary Proceedings Relating to Registered Patent Attorneys and Agents—COMMERCE/PAT-TM-2.

System location: Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system: Attorneys and agents registered to practice before the Patent and Trademark Office in patent cases, and disbarred or suspended attorneys and agents.

Categories of records in the system: Complaints and information obtained during investigations and quasi-judicial disciplinary proceedings.

Authority for maintenance of the system: 35 U.S.C. 1, 6, and 32.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Prefatory Statement of General Routine Uses Nos.1-5, 8-10 and 13. Also, dissemination of information concerning the complaint, investigation, or disciplinary proceeding, by the Solicitor's staff, to the complainant, to persons who can reasonably be expected to provide information needed in connection with the complaint, investigation, or disciplinary proceeding, and, upon inquiry, to state bars and courts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and identification data pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals, clients of same, registered attorneys and agents, witnesses in disciplinary proceedings, court opinions, and those authorized by the individual to furnish information.

COMMERCE/PAT-TM-3

System name: Employee Production Records—COMMERCE/PAT-TM-3

System location: Office of Management and Organization, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

Categories of individuals covered by the system: Employees of the Patent and Trademark Office.

Categories of records in the system: Employee name and number, position and grade level, time in duty status, time on leave, duty hours distributed by task, receipt date of oldest item in processing queue, beginning and ending balances of work in process, work volumes compiled by organization and in some organizations by individuals, and comparative data on current production compared with earlier periods.

Authority for maintenance of the system: 5 U.S.C. 301 and 35 U.S.C. 6.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Prefactory Statement of General Routine Uses Nos.1–5 and 9–13.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folder, microfilm and magnetic storage media.

Retrievability: Filed by organizations; cross referenced for access by name.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Director, Office of Management and Organization, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide employee name and number, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, those authorized by the individual to furnish information, and the individual's supervisors.

COMMERCE/PAT-TM-4

System name: Government Employee Invention Rights—COMMERCE/PAT-TM-4.

System location: Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system: Government employees who are inventors or nongovernment employees who are joint inventors together with a government employee inventor.

Categories of records in the system: Invention rights questionnaires including information as to the inventor's employment status and his official duties and responsibilities at the time the invention was made, title determinations, appeals to the Commissioner, and petitions for reconsideration.

Authority for maintenance of the system: 35 U.S.C. 1 and 6, and E.O. 10096, dated January 23, 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See prefatory Statement of General Routine Uses Nos.1–5 and 8–13. Also, information is transferred to various Government departments and agencies in connection with determinations made as to respective property rights (or the methods of protection thereof) of Government employees and such departments and agencies in and to inventions made by such employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name and case number.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Head, Office of Government Employee Inventions, Office of the Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name (and case number, if known) pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual and their employees, and those authorized by the individual to furnish information.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(1), Government Employee Invention Rights records which relate to applications or inventions subject to a secrecy order pursuant to 35 U.S.C. 181 or are otherwise subject to security classification pursuant to E.O. 12065 or the Atomic Energy Act of 1954, are exempted from the notification, access, and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance to agency rules, which are published in the Rules Section of this Federal Register.

COMMERCE/PAT-TM-5

System name: Non-Registered Persons Rendering Assistance to Patent Applicants—COMMERCE/PAT-TM-5.

System location: Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system: Persons other than registered attorneys or agents who have offered or rendered, for payment, various services to inventors, patent applicants and patentees.

Categories of records in the system: Declarations of assistance received and other reports or complaints, including names and addresses, of persons rendering services, and information given and used for investigatory and law enforcement purposes.

Authority for maintenance of the system: 35 U.S.C. 1, 6, and 33; 5 U.S.C. 301; 28 U.S.C. 533–535; 44 U.S.C. 3101; and E.O. 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Providing notice to patent applicants, by Solicitor's staff, regarding whether or not the persons from whom assistance was received are registered to practice before the Office. Used by Solicitor's Staff for investigative purposes. Also, see Prefatory Statement of General Routine Uses Nos.1–5, 8–10 and 13.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide name and address, and name of patent applicants, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Patent applicants who have received and paid for services by the individuals on whom the records are maintained.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(2), all investigatory materials in the record which meet the criteria in 5 U.S.C. 552a(k)(2) are exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e), (1), (e)(4)(G), (H), and (I), and (f)), of the agency regulations because of the necessity to exempt this information and material in order to accomplish the law enforcement function of the agency, to prevent subjects of investigations from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information, and to avoid endangering these sources and law enforcement personnel.

COMMERCE/PAT-TM-6

System name:

Parties Involved in Patent Interference Proceedings—COMMERCE/PAT-TM-6.

System location:

Board of Patent Interferences, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system:

Applicants for patent and patentees who become involved in a conflict involving the question of priority of invention.

Categories of records in the system:

All records relating to the delcaration, conduct, and termination of interference proceedings, including, but not limited to: preliminary statements, motions, testimony and settlement agreements. The data contained in the records may include information relating to the applicant's or patentee's name, age, citizenship, residence, educational and work background, physical and mental health, activities relating to conception and reduction to practice of the contested subject matter, and other matters which may arise during the conduct of the interference proceeding or in connection with any agreements made by the parties relative to the interference proceeding.

Authority for maintenance of the system:

35 U.S.C. 1, 6, 23, 24, and 135.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records relating to interferences which involve a patent are open to public inspection after an award of priority by the Board of Patent Interferences as to all parties, or, if none, after termination of the interference. Records relating to interferences which do not involve a patent are open to public inspection after the interference has terminated and one of the applications involved has issued a patent. Otherwise, information concerning these records is provided outside the Office only upon authorization of the applicants or owners of the applications or patents involved, or when necessary to carry out the provisions of any act of Congress or in such special circumstances as may be determined by the Commissioner. Copies of settlement agreements filed under 35 USC 135(c) are kept separate from other interference records if the party filing them so requests, and are made available, as provided in the statute, only to Government agencies on written request or to any person on a showing of good cause. Also see routine use paragraphs of the Prefatory Statement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by Interference Number, cross-indexed to the names of the parties.

Safeguards:

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal:

Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address:

Chairman, Board of patent Interferences, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure:

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide name and address, and Interference Number, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures:

Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures:

The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR part 4b. Use above address.

Record source categories:

Applicants for patent and patentees, the patent attorneys or agents authorized by such persons to represent them, those authorized by the applicant to furnish information, and witnesses and other parties involved in the taking of testimony.

Systems exempted from certain provisions of the act:

Pursuant to 5 U.S.C. 552a(k)(1), Patent Interference Proceedings records which relate to applications subject to a secrecy order pursuant to 35 U.S.C. 181 or are otherwise subject to security classification pursuant to E.O. 12065 or the Atomic Energy Act of 1954, are exempted from the notification, access, and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance to agency rules, which appear in 15 CFR Part 4b.

COMMERCE-PAT-TM-7

System name: Patent Application Files—COMMERCE/PAT-TM-7 (Note: This notice is broken down, where indicated, into three subsystems relating to the status of the files: a. Pending; b. Abandoned; and c. Patented.)

System location: a. U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; National Underground Storage, Boyers, Pa. 16020; Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Customer Services Division, U.S. Department of Commerce, Washington, D.C. 20230; b. Abandoned Files Unit, Office Services Division, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; c. Record Branch, Patent Search Division, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of Automatic Data Processing Management, Computer Center, U.S. Department of Commerce, Washington, D.C. 20230.

Categories of individuals covered by the system: Applicants for patent, including inventors, legal representatives for deceased or incapacitated inventors, and other persons authorized by law to make applications for patent.

Categories of records in the system: Oath or declaration of applicant including name, citizenship, residence, post office address and other information pertaining to the applicant's activities in connection with the invention for which a patent is sought. Statements containing various kind of information with respect to inventors who are deceased or incapacitated, or who are unavailable or unwilling to make application for patent.

Authority for maintenance of the system: 35 U.S.C. 1, 6, and 115; 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Information concerning these records is provided outside the Office only upon authorization of the applicant or owner of the application or when necessary to carry out the provisions of any act of Congress or in such special circumstances as may be determined by the Commissioner, e.g. files referred for secrecy order determination under 35 U.S.C. 181. b. Same as a., except where application is referred to in a U.S. Patent, in which case the record is open to public inspection. c. Records are open to public inspection.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: All three subsystems are also subject to the routine use paragraphs No. 1–5 and No. 8–13 of the Prefatory Statement.

Storage: Paper records in file folders, microfilm and magnetic storage media.

Retrievability: Subsystems a. and b. filed by serial number, cross-indexed to name of applicant. Subsystem c. filed by patent number, cross-indexed to name of applicant.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: a. Assistant Commissioner for Patents, U.S. Patent and Trademark Office, Washington, D.C. 20231; b. Director, Office of General Services, U.S. Patent and Trademark Office, Washington, D.C. 20231; c. Director, Office of Patent and Trademark Services, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name of applicant or patentee and Serial Number or Patent Number, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to; same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appears in 15 CFR Part 4b. Use above address.

Record source categories:

. The inventors or other persons who submit applications for patent and the patent attorneys or agents authorized by such inventor or other persons to represent them.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(1), Patent Applications, to the extent that they are subject to a secrecy order pursuant to 35 U.S.C. section 181 or are otherwise subject to security classification pursuant to E.O. 12065 or the Atomic Energy Act of 1954 are exempted from the notification, access and content requirements of the agency procedures (under 5 U.S.C. 552((c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance to agency rules which appear in 15 CFR Part 4b.

COMMERCE/PAT-TM-8

System name: Patent Application Secrecy Order Files—COMMERCE/PAT-TM-8.

System location: Patent Examining Operation, Group 220, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system: Applicants including inventors, legal representatives for deceased or incapacitated inventors, and other persons authorized by law to make applications for patent.

Categories of records in the system: Identification of patent application and applicant including application serial number, filing date, title of invention, applicant's or inventor's address and addresses of applicant's duly appointed representatives.

Authority for maintenance of the system: 35 U.S.C. 1, 6, and 181 through 183.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral to authorized Government agencies under 35 U.S.C. 181 for determination of the requirement for a secrecy order, and notification of the applicant or his duly appointed representative of such secrecy order. Also, see Prefatory Statement of General Routine Uses Nos.1–5, 8–10, and 13.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed by application serial number, cross-indexed to name of applicant.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained, and stored in a locked vault.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Director, Patent Examining Group 220, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and social security or Patent Number, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject applicants or their representatives and authorized representatives of the Department of Energy, the Secretary of Defense, and the Chief Officer of any other department or agency of the Government designated by the President as a defense agency of the United States.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(1), these records, since they relate to determinations pertinent to secrecy orders pursuant to 35 U.S.C. 181 or to security classification pursuant to E.O. 12065 or the Atomic Energy Act of 1954 are exempted from the notification, access, and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance to agency rules which appear in 15 CFR Part 4b.

COMMERCE/PAT-TM-9

System name: Patent Assignment Records—COMMERCE/PAT-TM-9.

System location: Office of Patent and Trademark Services, Assignment Division, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202; Patent Examining Operation Group 220, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

Categories of individuals covered by the system: Persons who have given or received property rights under an application for patent or a patent by means of a written instrument recorded in the Patent and Trademark Office. Deceased or incapacitated inventors and their legal representatives.

Categories of records in the system: Assignments, grants, mortgages, liens, encumbrances, licenses, and other instruments affecting title. Letters testamentary and other court certificates and orders.

Authority for maintenance of the system: 35 U.S.C. 1, 6, and 261, and E.O. 9424.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Prefatory Statement of General Routine Uses Nos.1–5 and 8–13. Statement. Records open to the public are searched by users for the purpose of determining ownership for other property rights with respect to patents and trademarks. On the separate Government Register, records categorized as "Public" are available for public inspection; those records categorized as "Departmental" are used by duly authorized employees of Government agencies; and those records designated as "Secret" are disclosed only to persons having written authority from the head of the agency submitting the record. Assignment records relating to pending patent applications are maintained in confidence in accordance with 5 U.S.C. 122.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files, microfilm reels, index card files and magnetic storage media.

Retrievability: Filed by inventor's name, application serial number, assignee's name, assignor's name, and patent number.

Safeguards: Building employs security guards. Records subject to confidence requirements are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained. Records in the Secret Portion of the Government Register are, additionally, stored in a locked vault. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Recording Officer, Assignment Division, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide assignee's or assignor's name(s) and application serial number, if known, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Persons who have submitted written instruments to the Patent and Trademark Office for recording.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(1), assignment records which are designated "Secret" and maintained in the Government Register pursuant to E.O. 9424 are exempted from the notification, access, and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance with agency rules which appear in 15 CFR Part 4b.

COMMERCE/PAT-TM-10

System name: Patent Deposit Accounts System—COMMERCE/PAT-TM-10.

System location: Receipts Control Division, Office of Finance, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

Categories of individuals covered by the system: Registered patent attorneys and agents and other members of the public who maintain deposit accounts to pay the cost of services rendered by the Patent and Trademark Office.

Categories of records in the system: Name, address, account number, and financial transactions with the Office.

Authority for maintenance of the system: 35 U.S.C. 1, 6, and 41.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Prefatory Statement of General Routine Uses Nos.1–5, 9–10 and 13.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microfilm and magnetic storage media.

Retrievability: Filed by name, account number.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Director, Office of Finance, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide name and account number in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Request from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals and those authorized by the individual to furnish information.

COMMERCE/PAT-TM-11

System name: Patent Examiner Testimony Files—COMMERCE/PAT-TM-11.

System location: Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

Categories of individuals covered by the system: Employees and former employees who have testified in person or through deposition in court actions in regard to duties performed while employed by the Patent and Trademark Office, or who have been interviewed to determine whether such testimony will be taken.

Categories of records in the system: Name, address, employment status, education, work experience, and other matters which might be raised in the course of a deposition or other testimony.

Authority for maintenance of the system: 35 U.S.C. 1 and 6; 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Prefatory Statement of General Routine Uses Nos.1–5 and 9–13.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copy.

Retrievability: Filed alphabetically by name.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and date(s) of testimony or interview, if known, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual, the individual's co-workers, and those authorized by the individual to furnish information.

COMMERCE/PAT-TM-12

System name: Patent Subscription Service System—COMMERCE/PAT-TM-12

System location: U.S. Patent and Trademark Office, Office of Patent and Trademark Services, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system: Individuals subscribing to copies of patents, trademarks, designs, defensive publications, and related publications issued in certain classes or subclasses.

Categories of records in the system: Name of subscriber, Deposit Account Number, address, classes or subclasses subscribed to, total number of subclasses subscribed to; and initial payment per year. Weekly listings of patent, trademark, design, defensive publication, and related publication numbers for each subscription order.

Authority for maintenance of the system: 35 U.S.C. 41; 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Prefatory Statement of General Routine Uses Nos.4–5, 9–10 and 13.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: On magnetic tape and computer printout.

Retrievability: Subscriber's name and account number.

Safeguards: Maintained in areas accessible only to authorized personnel in building protected by security guards nonbusiness hours.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Director of Office of Patent and Trademark Services U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and Deposit Account Number in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals and those authorized by the individual to furnish information.

COMMERCE/PAT-TM-13

System name: Petitioners for License to File for Foreign Patents—COMMERCE/PAT-TM-13.

System location: Patent Examining Operation, Group 220, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

Categories of individuals covered by the system: Petitioners for license to file a patent application in any foreign country.

Categories of records in the system: Petitioner's name, address, and description of subject matter, or, where a corresponding U.S. application has been filed, identification of applicant, application serial number, filing date, title to invention, applicant's address and addresses of applicant's duly appointed representatives.

Authority for maintenance of the system: 35 U.S.C. 1, 6, and 184.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Prefatory Statement of General Routine Uses Nos.1–5, 8–10 and 13.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper copy and magnetic storage media.

Retrievability: By number assigned called P number and by serial number related to P number when additional matter is submitted in connection with a corresponding U.S. application, cross-indexed to petitioner's name.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

Retention and disposal: Records retention and disposal is in accordance with the unit's Records Control Schedule.

System manager(s) and address: Director, Patent Examining Group 220, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and serial number or P number, if known, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individuals or their duly appointed representatives.

COMMERCE/PAT-TM-14

System name: Users of Public Search Room of the Patent and Trademark Office—COMMERCE/PAT-TM-14.

System location: Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

Categories of individuals covered by the system: Federal employees other than employees of the Patent and Trademark Office; employees and other representatives of commercial firms offering patent search services to the public; registered agents before the Patent and Trademark Office; and any member of the general public who uses the search room.

Categories of records in the system: Name; home address; business firm or other organizations with which affiliated, as appropriate; user pass number; registration number, if a registered agent before the Patent and Trademark Office; violations of regulations governing use of the search room; and the signature of recipients of user passes, indicating that the recipient has read the regulations governing the use of the search room.

Authority for maintennoce of the system: 5 U.S.C. 301 and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be disclosed to law enforcement authorities, employers of violators of regulations governing use of the search room, and organizations with which recipients of user passes claim affiliation. Information such as home address or business affiliation, on individuals who have removed, with proper authority, patent documents from the search room but have failed to return such documents, may be used in retrieving such documents. Also, see Prefatory Statement of General Routine Uses Nos.1–5 and 9–13.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Alphabetically by name and sequentially by user pass number.

Safeguards: Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: Retained pursuant to Records Control Schedule, with periodic updating or posting of information, when appropriate and necessary.

System manager(s) and address: Director, Office of Patent and Trademark Services, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Notification procedure: Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide name and address and date of visit to the search room, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

Record access procedures: Requests from individuals should be addressed to: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

Record source categories:

Subject individual; employers; and those authorized by individual.

COMMERCE/WBO-1

System name: Talent and Experience File of Women's Business Experts—COMMERCE/WBO-1.

System location: Office of Administrative Services, U.S. Department of Commerce, 14th & E Streets and Constitution Avenue, N.W., Washington, D.C. 20230.

Categories of individuals covered by the system: Individuals: with whom the Task Force communicated; having knowledge of women's business operations, problems and discriminations; or having special skills which would be of assistance to the Task Force.

Categories of records in the system: Personal background data normally including name, age, address, telephone numbers, Social Security number, business and work experience, educational background, professional association memberships, publications and information on areas of expertise.

Authority for maintenance of the system: 5 U.S.C. 301; 15 U.S.C. 1512; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is disclosed to other Federal agencies upon their request to provide names and addresses of individuals who possess special skills or expertise related to the problems of women business owners. General routine uses 4, 5, 9, and 13 in the Prefatory Statement also apply.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by individual's name.

Safeguards: Records are on premises with access limited to individuals whose official duties require access.

Retention and disposal: Retained on site for five (5) years and then disposed of in accordance with the Office of the Secretary Records Control Schedule.

System manager(s) and address: Deputy Under Secretary for Regional Affairs, Office of the Secretary, U.S. Department of Commerce, Washington, D.C. 20230.

Notification procedure: Information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

Record access procedures: Requests from individuals should be addressedto: same address as stated in the notification section above.

Contesting record procedures: The Department's rules for access, for contesting contents, and for appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Requests from individuals should be addressed as stated in the notification section above.

Record source categories:

Subject individual; those authorized by the individual to furnish information; public reference sources; government, private and public interest organizations.

PART 4b—PRIVACY ACT

Sec.

4b.1 Purpose and scope.
4b.2 Definitions.
4b.3 Procedures for inquiries pertaining to individual records in a record system.
4b.4 Times, places, and requirements for identification of individuals making requests for access.
4b.5 Disclosure of requested information to individuals.
4b.6 Special procedures: Medical records.
4b.7 Request for correction or amendment to record.
4b.8 Agency review of request for correction or amendment of record.
4b.9 Appeal of initial adverse agency determination on correction or amendment.
4b.10 Disclosure of record to person other than the individual to whom it pertains.
4b.11 Fees.
4b.12 Penalties.
4b.13 General exemptions.
4b.14 Specific exemptions.

Appendix A—Officials to receive inquiries, requests for access, and requests for correction or amendment.
Appendix B—Officials to receive appeals from adverse determination on correction or amendment.
Appendix C—Systems of records noticed by other agencies and applicable to records of the Department and applicability of this part thereto.
Appendix D—Facsimile of official form for inquiries and requests.

Authority: 5 U.S.C. 552a; 5 U.S.C. 553; 5 U.S.C. 552; 5 U.S.C. 301; 44 U.S.C. 3101; Reorganization Plan No. 5 of 1950.

Source: 40 FR 45621, Oct. 2, 1975; 40 FR 50662, Oct. 30, 1975; 40 FR 51168, Nov. 3, 1975, unless otherwise noted.

§ 4b.1 Purpose and scope.

(a) The purpose of this part is to establish policies and procedures for implementing the Privacy Act of 1974 (Pub. L. 93-579), particularly 5 U.S.C. 552a as added by the Act. The main objectives are to facilitate full exercise of rights conferred on individuals under the Act and to ensure the protection of privacy as to individuals on whom the Department maintains records in systems of records under the Act. The Department accepts the responsibility to act promptly and in accordance with the Act upon receipt of any inquiry, request or appeal from a citizen of the United States or an alien lawfully admitted for permanent residence into the United States, regardless of the age of the individual. Further, the Department accepts the obligations to maintain only such information on individuals as is relevant and necessary to the performance of its lawful functions, to maintain that information with such accuracy, relevancy, timeliness, and completeness as is reasonably necessary to assure fairness in determinations made by the Department about the individual, to obtain information from the individual to the extent practicable, and to take every reasonable step to protect that information from unwarranted disclosure. The Department will maintain no record describing how an individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity. An individual's name and address will not be sold or rented by the Department unless such action is specifically authorized by law; however, this provision shall not be construed to require the withholding of names and addresses otherwise permitted to be made public.

(b) This part applies to all units in the Department in order to assure the maximum amount of uniformity and consistency within the Department in its implementation of the Act. The units of the Department may promulgate supplementary orders and rules not inconsistent with this part.

(c) The Assistant Secretary for Administration is delegated responsibility for maintaining this part, for issuing such orders and directives internal to the Department as are necessary for full compliance with the Act, and for effecting publication of all required notices concerning systems of records.

(d) Matters outside the scope of this part include the following:

(1) Requests under the Freedom of Information Act (5 U.S.C. 552) and Part 4 of this title;

(2) Requests involving information pertaining to an individual which is in a record or file but not within the scope of a system of records notice published in the Federal Register;

(3) Requests to correct a record where a grievance procedure is available to the individual either by regulation or by provision in a collective bargaining agreement with the Department or a unit of the Department, and the individual has initiated, or has expressed in writing the intention of initiating, such grievance procedure. An individual selecting the grievance procedure waives the use of the procedures in this part to correct or amend a record; and,

(4) Requests for employee-employer services and counseling which were routinely granted prior to enactment of the Act, including, but not limited to, test calculations of retirement benefits, explanations of health and life insurance programs, and explanations of tax withholding options.

(e) The selection of the appropriate method for processing an individual's request for records depends on the status or capacity of the individual, the wording of the request and the character of the records requested. The Department anticipates the following situations and will undertake processing as indicated:

(1) Requester is the individual to whom the record pertains and the requester expressly states only that the request is under the Act—The request will be processed under the Act and this part;

(2) Requester is the individual to whom the record pertains and the requester expressly states only that the request is under the Freedom of Information Act—The request will be processed under the Freedom of Information Act and the Department's implementing regulations (Part 4 of this chapter);

(3) Requester is the individual to whom the record pertains and the requester expressly states that the request is under both the Act and the Freedom of Information Act—The request will be processed concurrently under both statutes and the Department's respective implementing regulations;

(4) Requester is the individual to whom the record pertains and the requester fails to specify whether the request is under the Act or the Freedom of Information Act or both—The Department will respond to the requester and ask for clarification of the requester's intention as to processing. The request will not be deemed to have been "received" for purposes of measuring time periods for response until the clarification actually has been received by the appropriate official of the Department; and,

(5) Requester (i) is not an individual or (ii) is an individual but not the individual to whom the record pertains or one asserting parentage or guardianship as permitted under the Act—The request will be processed under the Freedom of Information Act and the Department's implementing regulations or under other applicable procedures.

§ 4b.2 Definitions.

(a) All terms used in this part which are defined in 5 U.S.C. 552a shall have the same meaning herein.

(b) As used in this part:

(1) The term "Act" means the "Privacy Act of 1974," Pub. L. 93–579.

(2) The term "appeal" means the request by an individual that an initial denial of a request for correction or amendment by that individual be reviewed and reversed.

(3) The term "Department" means the Department of Commerce.

(4) The term "inquiry" means either a request for general information regarding the Act and this part or a request by an individual (or that individual's parent or guardian) that the Department determine whether it has any record in a system of records which pertains to that individual.

(5) The term "person" means any human being and also shall include but not be limited to, corporations, associations, partnerships, trustees, receivers, personal representatives, and public or private organizations.

(6) The term "Privacy Appeals Officer" means those officials, identified in Appendix B to this part, who are authorized to receive and act upon appeals from an initial denial of a request for correction or amendment.

(7) The term "Privacy Officer" means those officials, identified in Appendix A to this part, who are authorized to receive and act upon inquiries, requests for access, and requests for correction or amendment.

(8) The term "request for access" means a request by an individual to see a record which is in a particular system of records and which pertains to that individual.

(9) The term "request for correction or amendment" means the request by an individual that the Department change (either by correction, amendment, addition or deletion) a particular record in a system of records which pertains to that individual.

(10) The term "unit of the Department" and "unit" means the office of the Secretary of Commerce and operating units of the Department as defined in Department Organization Order 1–1, "Mission and Organization of the Department of Commerce" (35 FR 19704, December 27, 1970).

§ 4b.3 Procedures for inquiries pertaining to individual records in a record system.

(a) Any individual, regardless of age, who is a citizen of the United States or an alien lawfully admitted for permanent residence into the United States may submit an inquiry to the Department. The inquiry should be made either in person or by mail addressed to the appropriate Privacy Officer identified in Appendix A to this part or to the official identified in the notification procedures paragraph of the systems of records notice published in the **Federal Register**. If an individual believes the Department maintains a record pertaining to that individual but does not know which system of records might contain such a record and/or which unit of the Department maintains the system of records, assistance in person or by mail will be provided at the first address listed in Appendix A to this part. The offices of Privacy Officers are open to the public between the hours of 9:00 a.m. and 4:00 p.m., Monday through Friday (excepting holidays).

(b) The processing of inquiries submitted by mail will be facilitated if the words "PRIVACY ACT INQUIRY" appear in capital letters on the face of the envelope.

(c) The Department has an official form for making inquiries and requests, a facsimile of which is Appendix D to this part. Its use is urged. Copies may be obtained by contacting any of the officials in Appendix A to this part. Copies also may be obtained by contacting any facility of the Department which offers direct services to the public. Please consult your telephone directory under the listing "United States Government—Commerce Department."

(d) If, for some reason, an individual is unable to use the Department's official form, the letter should bear the words "PRIVACY ACT INQUIRY" in capital letters at the top. If the inquiry is for general information regarding the Act and this part, no particular information is required. If the inquiry is a request that the Department determine whether it has, in a given system of records, a record which pertains to the individual, the following information should be submitted:

(1) Name of individual whose record is sought;

(2) Individual whose record is sought is either a U.S. citizen or an alien lawfully admitted for permanent residence;

(3) Identifying data that will help locate the record (for example, maiden name, occupational license number, period or place of employment, etc.);

(4) Record sought, by description and by record system name, if known;

(5) Action requested (that is, send information on how to exercise rights under the Act; does requested record exist; access to requested record; or copy of requested record);

(6) Copy of court guardianship order or minor's birth certificate, as provided in § 4b.4(f)(3), but only if requester is guardian or parent of individual whose record is sought;

(7) Requester's name (printed), signature, address, and telephone number (optional);

(8) Date; and,

(9) Certification of request by notary or other official, but only if (i) request is for notification that requested record exists, for access to requested record or for copy of requested record; (ii) record is not available to any person under 5 U.S.C. 552; and (iii) requester does not appear before an employee of the Department for verification of identity.

The Department reserves the right to require compliance with the identification procedures appearing at § 4b.4(f) where circumstances warrant.

(e) Any inquiry which is not addressed as specified in paragraph (a) of this section or which is not marked as specified in paragraphs (b) and (d) of this section will be so addressed and marked by Department personnel and forwarded immediately to the responsible Privacy Officer. An inquiry which is not properly addressed by the individual will not be deemed to have been "received" for purposes of measuring time periods for response until actual receipt by the Privacy Officer. In each instance when an inquiry so forwarded is received, the Privacy Officer shall notify the individual that his or her inquiry was improperly addressed and the date when the inquiry was received at the proper address.

(f) (1) Each inquiry received shall be acted upon promptly by the responsible Privacy Officer. Every effort will be made to respond within ten days (excluding Saturdays, Sundays and holidays) of the date of receipt. If a response cannot be made within ten days, the Privacy Officer shall send an acknowledgment during that period providing information on the status of the inquiry and asking for such further information as may be necessary to process the inquiry. The first correspondence sent by the Privacy Officer to the requester shall contain the Department's control number assigned to the request, as well as a note that the requester should use that number in all future contacts in order to facilitate processing. The Department shall use that control number in all subsequent correspondence.

(2) If the Privacy Officer fails to send an acknowledgment within ten days, as provided above, the requester may ask the Privacy Appeals Officer, identified in Appendix B to this part, to take corrective action. No failure of a Privacy Officer to send an acknowledgment

shall confer administrative finality for purposes of judicial review.

(g) An individual shall not be required to state a reason or otherwise justify his or her inquiry.

(h) Special note should be taken of the fact that certain agencies are responsible for publishing notices of systems of records having Government-wide application to other agencies, including the Department. The agencies known to be publishing these general notices and the types of records covered therein appear in Appendix C to this part. These general notices do not identify the Privacy Officers in the Department to whom inquiries should be presented or mailed. The provisions of this section, and particularly paragraph (a) of this section, should be followed in making inquiries with respect to such records. Such records in the Department are subject to the provisions of this part to the extent indicated in Appendix C to this part. The exemptions, if any, determined by the agency publishing a general notice shall be invoked and applied by the Department after consultation, as necessary, with that other agency.

§ 4b.4 Times, places, and requirements for identification of individuals making requests for access.

(a) Any individual, regardless of age, who is a citizen of the United States or an alien lawfully admitted for permanent residence into the United States may submit a request for access to records to the Department. The request should be made either in person or by mail addressed to the responsible Privacy Officer identified in Appendix A to this part. The offices of Privacy Officers are open to the public between the hours of 9:00 a.m. and 4:00 p.m. Monday through Friday (excluding holidays).

(b) The Department has an official form for making requests, a facsimile of which is Appendix D to this part. Its use is urged. Copies may be obtained by contacting any of the officials listed in Appendix A to this part. Copies also may be obtained by contacting any facility of the Department which offers direct services to the public. Please consult your telephone directory under the listing "United States Government—Commerce Department."

(c) The processing of requests submitted by mail will be facilitated if the words "PRIVACY ACT REQUEST" appear in capital letters on the face of the envelope. If, for some reason, an individual is unable to use the Department's official form the letter should bear the words "PRIVACY ACT REQUEST" in capital letters at the top.

(d) Any request which is not addressed as specified in paragraph (a) of this section or which is not marked as specified in paragraph (c) of this section will be so addressed and marked by Department personnel and forwarded immediately to the responsible Privacy Officer. A request which is not properly addressed by the individual will not be deemed to have been "received" for purposes of measuring time periods for response until actual receipt by the Privacy Officer. In each instance when a request so forwarded is received, the Privacy Officer shall notify the individual that his or her request was improperly addressed and the date when the request was received at the proper address.

(e) If the request follows inquiry under § 4b.3 in connection with which the individual's identity was established by the Department, the individual need only indicate the record to which access is sought, give the Department control number assigned to the request, and sign and date the request. If the request is not preceded by an inquiry under section 4b.3, the procedures of either § 4b.3(c) or § 4b.3(d) of this part should be followed.

(f) The requirements for identification of individuals seeking access to records are as follows:

(1) *In person.* Each individual making a request in person shall be required to present satisfactory proof of identity. The means of proof, in the order of preference and priority, are:

(i) A document bearing the individual's photograph (for example, driver's license, passport or military or civilian identification card);

(ii) A document, preferably issued for participation in a Federally sponsored program, bearing the individual's signature (for example, unemployment insurance book, employer's identification card, national credit card, and professional, craft or union membership card); and,

(iii) A document bearing neither the photograph nor the signature of the individual, preferably issued for participation in a Federally sponsored program (for example, Medicaid card).

In the event the individual can provide no suitable documentation of identity, the Department will require a signed statement asserting the individual's identity and stipulating that the individual understands the penalty provision of 5 U.S.C. 552a(i)(3) recited in § 4b.12(a). For the convenience of the public, and in addition to the Privacy Officers listed in Appendix A to this part, most facilities which are open to the public and operated by the Department outside Metropolitan Washington, D.C. have employees authorized to determine the identity of an individual. However, such employees are not authorized to take any other action with respect to a request except to transmit the request to the responsible Privacy Officer. In order to avoid any unwarranted disclosure of an individual's records, the Department reserves the right to determine the adequacy of proof of identity offered by any individual, particularly when the request involves a sensitive record.

(2) *Not in person.* If the individual making a request does not appear in person before a Privacy Officer or other employee authorized to determine identity, a certificate of a notary public or equivalent officer empowered to administer oaths must accompany the request under the circumstances prescribed in § 4b.3(d)(9). The Department's official form for requests contains a certificate. If, for some reason, the individual is unable to use the official form, the certificate within or attached to the letter must be substantially in accord with the following text:

City of ————————
County of ————————: ss
(Name of individual), who affixed (his) (her) signature below in my presence, came before me, a (title), in and for the aforesaid County and State, this ——— day of ————————, 19—, and established (his) (her) identity to my satisfaction.
My commission expires ————————.
(Signature)

(3) *Parents of minors and legal guardians.* An individual acting as the parent of a minor or the legal guardian of the individual to whom a record pertains shall establish his or her personal identity in the same manner prescribed in either paragraph (f)(1) or paragraph (f)(2) of this section. In addition, such other individual shall establish his or her identity in the representative capacity of parent or legal guardian. In the case of the parent of a minor, the proof of identity shall be a certified or authenticated copy of the minor's birth certificate. In the case of a legal guardian of an individual who has been declared incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, the proof of identity shall be a certified or authenticated copy of the court's order. For purposes of the Act, a parent or legal guardian may represent only a living individual, not a decedent. A parent or legal guardian may be accompanied during personal access to a record by another individual, provided the provisions of § 4b.5(f) are satisfied.

(g) When the provisions of this part are alleged to have the effect of impeding an individual in exercising his or her right to access, the Department will consider, from an individual making a request, alternative suggestions regarding proof of identity and access to records.

(h) An individual shall not be required to state a reason or otherwise justify his or her request for access to a record.

§ 4b.5 Disclosure of requested information to individuals.

(a) (1) Each request received shall be acted upon promptly by the responsible Privacy Officer. Every effort will be made to respond within ten days (excluding Saturdays, Sundays and holidays) of the date of receipt. If a response cannot be made within ten days due to unusual circumstances, the Privacy Officer shall send an acknowledgment during that period providing information on the status of the request and asking for such further information as may be necessary to process the request. "Unusual circumstances" shall include circumstances where a search for and collection of requested records from inactive storage, field facilities or other establishments are required, cases where a voluminous amount of data is involved, instances where information on other individuals must be separated or expunged from the particular record, and cases where consultations with other agencies having a substantial interest in the determination of the request are necessary.

(2) If the Privacy Officer fails to send an acknowledgment within ten days, as provided above, the requester may ask the responsible Privacy Appeals Officer, identified in Appendix B to this part, to take corrective action. No failure of a Privacy Officer to send an acknowledgment shall confer administrative finality for purposes of judicial review.

(b) Grant of access. (1) *Notification.* An individual shall be granted access to a record pertaining to him or her, except where the provisions of paragraph (g)(1) of this section apply. The Privacy Officer shall notify the individual of a determination to grant access and provide the following information:

(i) The methods of access, as set forth in paragraph (b)(2) of this section;

(ii) The place at which the record may be inspected;

(iii) The earliest date on which the record may be inspected and the period of time that the records will remain available for inspection. In no event shall the earliest date be later than thirty days from the date of notification;

(iv) The estimated date by which a copy of the record could be mailed and the estimate of fees pursuant to section 4b.11 of this part. In no event shall the estimated date be later than thirty days from the date of notification;

(v) The fact that the individual, if he or she wishes, may be accompanied by another individual during personal access, subject to the procedures set forth in paragraph (f) of this section; and,

(vi) Any additional requirements needed to grant access to a specific record.

(2) *Methods of access.* The following methods of access to records by an individual may be available depending on the circumstances of a given situation:

(i) Inspection in person may be had in the office specified by the Privacy Officer granting access, during the hours indicated in § 4b.4(a);

(ii) Transfer of records to a Federal facility more convenient to the individual may be arranged, but only if the Privacy Officer determines that a suitable facility is available, that the individual's access can be properly supervised at that facility, and that transmittal of the records to that facility will not unduly interfere with operations of the Department or involve unreasonable costs, in terms of both money and manpower; and,

(iii) Copies may be mailed at the request of the individual, subject to payment of the fees prescribed in § 4b.11. The Department, at its own initiative, may elect to provide a copy by mail, in which case no fee will be charged the individual.

(c) Access to medical records is governed by the provisions of § 4b.6.

(d) The Department shall supply such other information and assistance at the time of access as to make the record intelligible to the individual.

(e) The Department reserves the right to limit access to copies and abstracts of original records, rather than the original records. This election would be appropriate, for example, when the record is in an automated data media such as tape or disc, when the record contains information on other individuals, and when deletion of information is permissible under exemptions (for example, 5 U.S.C. 552a(k)(2)). In no event shall original records of the Department be made available to the individual except under the immediate supervision of the Privacy Officer or his designee. Title 18, United States Code, section 2701(a) makes it a crime to conceal, mutilate, obliterate, or destroy any record filed in a public office, or to attempt to do any of the foregoing.

(f) Any individual who requests access to a record pertaining to that individual may be accompanied by another individual of his or her choice. "Accompanied" includes discussion of the record in the presence of the other individual. The individual to whom the record pertains shall authorize the presence of the other individual in writing and shall include the name of the other individual, a specific description of the record to which access is sought, the Department control number assigned to the request, the date and the signature of the individual to whom the record pertains. The other individual shall sign the authorization in the presence of the Privacy Officer. An individual shall not be required to state a reason or otherwise justify his or her decision to be accompanied by another individual during personal access to a record.

(g) Initial denial of access. (1) *Grounds.* Access by an individual to a record which pertains to that individual will be denied only upon a determination by the Privacy Officer that:

(i) The record is exempt under §§ 4b.13 and 4b.14 or exempt by determination of another agency publishing notice of the system of records, as described in § 4b.3(h);

(ii) The record is information compiled in reasonable anticipation of a civil action or proceeding;

(iii) The provisions of section 4b.6 pertaining to medical records temporarily have been invoked; or,

(iv) The individual unreasonably has failed to comply with the procedural requirements of this part.

(2) *Notification.* The Privacy Officer shall give notice of denial of access to records to the individual in writing and shall include the following information:

(i) The Privacy Officer's name and title or position;

(ii) The date of the denial;

(iii) The reasons for the denial, including citation to the appropriate section of the Act and this part;

(iv) The individual's opportunities, if any, for further administrative consideration, including the identity and address of the responsible official. If no further administrative consideration within the Department is available, the notice shall state that the denial is administratively final; and,

(v) If stated to be administratively final within the Department, the individual's right to judicial review provided under 5 U.S.C. 552a(g)(1), as limited by 5 U.S.C. 552a(g)(5).

(3) *Administrative review.* When an initial denial of a request is issued by the Privacy Officer, the individual's opportunities for further consideration shall be as follows:

(i) As to denial under paragraph (g)(1)(i) of this section, two opportunities for further consideration are available in the alternative: (A) If the individual contests the application of the exemption to the records, review procedures in § 4b.5(g)(3)(ii) shall apply; or, (B) If the individual challenges the exemption itself, the procedure is a petition for the issuance, amendment, or repeal of a rule under 5 U.S.C. 553(e). If the exemption was determined by the Department, such petition shall be filed with the Assistant Secretary for Administration. If the exemption was determined by another agency, referred to in § 4b.3(h), the Department will provide the individual with the name and address of the other agency and any relief sought by the individual shall be that provided by the regulations of the other agency. Within the Department, no such denial is administratively final until such a petition has been filed by the individual and disposed of on the merits by the Assistant Secretary for Administration.

(ii) As to denial under paragraphs (g)(1)(ii), (g)(1)(iv) of this section or (to the limited extent provided in paragraph (g)(3)(i)(A) of this section) paragraph (g)(1)(i), the individual may file for review with the responsible Privacy Appeals Officer identified in Appendix B to this part, as indicated in the Privacy Officer's initial denial notification. The procedures appearing in § 4b.8 shall be followed by both the individual and the Department to the maximum extent practicable.

(iii) As to denial under paragraph (g)(1)(iii) of this section, no further administrative consideration within the Department is available because the denial is not administratively final until expiration of the time period indicated in § 4b.6(a).

(h) If a request is partially granted and partially denied, the Privacy Officer shall follow the appropriate procedures of this section as to the records within the grant and the records within the denial.

§ 4b.6 Special procedures: Medical records.

(a) No response to any request for access to medical records by an individual will be issued by the Privacy Officer for a period of seven days (excluding Saturdays, Sundays and holidays) from the date of receipt.

(b) The Department has published as a routine use, for all systems of records containing medical records, consultations with an individual's physician or psychologist if, in the sole judgment of the Department, disclosure could have an adverse effect upon the individual. The mandatory waiting period set forth in paragraph (a) of this section will permit exercise of this routine use in appropriate cases. The Department will pay no cost of any such consultation.

(c) In every case of a request by an individual for access to medical records, the Privacy Officer shall:

(1) Inform the individual of the waiting period prescribed in paragraph (a) of this section;

(2) Obtain the name and address of the individual's physician and/or psychologist, if the individual consents to give them;

(3) Obtain specific, written consent for the Department to consult the individual's physician and/or psychologist in the event that the Department believes such consultation is advisable, if the individual consents to give such authorization;

(4) Obtain specific, written consent for the Department to provide the medical records to the individual's physician or psychologist in the event that the Department believes access to the record by the individual is best effected under the guidance of the individual's physician or psychologist, if the individual consents to give such authorization; and,

(5) Forward the individual's medical record to the Department's medical officer for review and a determination on whether consultation with or transmittal of the medical records to the individual's physician or psychologist is warranted. If the consultation with or transmittal of such records to the individual's physician or psychologist is determined to be warranted, the Department's medical officer shall so consult or transmit. Whether or not such a consultation or transmittal occurs, the Department's medical officer shall provide instruction to the Privacy Officer regarding the conditions of access by the individual to his or her medical records.

(d) If an individual refuses in writing to give the names and consents set forth in paragraphs (c)(2) through (4) of this section and the Department has determined that disclosure could have an adverse effect upon the individual, the Department shall give the individual access to said records by means of a copy, provided without cost to the requester, sent registered mail return receipt requested.

§ 4b.7 Request for correction or amendment to record.

(a) Any individual, regardless of age, who is a citizen of the United States or an alien lawfully admitted for permanent residence into the United States may submit a request for correction or amendment to the Department. The request should be made either in person or by mail addressed to the Privacy Officer who processed the individual's request for access to the record, and to whom is delegated authority to make initial determinations on requests for correction or amendment. The offices of Privacy Officers are open to the public between the hours of 9:00 a.m. and 4:00 p.m. Monday through Friday (excluding holidays).

(b) The processing of requests submitted by mail will be facilitated if the words "PRIVACY ACT REQUEST" appear in capital letters on the face of the envelope. If, for some reason, the individual is unable to use the Department's official form, the letter should bear the words "PRIVACY ACT REQUEST" in capital letters at the top.

(c) Any request which is not addressed as specified in paragraph (a) of this section or which is not marked as specified in paragraph (b) of this section will be so addressed and marked by Department personnel and forwarded immediately to the responsible Privacy Officer. A request which is not properly addressed by the individual will not be deemed to have been "received" for purposes of measuring time periods for response until actual receipt by the Privacy Officer. In each instance when a request so forwarded is received, the Privacy Officer shall notify the individual that his or her request was improperly addressed and the date when the request was received at the proper address.

(d) Since the request, in all cases, will follow a request for access under § 4b.5, the individual's identity will be established by his or her signature on the request and use of the Department control number assigned to the request.

(e) A request for correction or amendment should include the following:

(1) A specific identification of the record sought to be corrected or amended (for example, description, title, date, paragraph, sentence, line and words);

(2) The specific wording to be deleted, if any;

(3) The specific wording to be inserted or added, if any, and the exact place at which to be inserted or added; and,

(4) A statement of the basis for the requested correction or amendment, with all available supporting documents and materials which substantiate the statement. The statement should identify the criterion of the Act being invoked, that is, whether the information in the record is unnecessary, inaccurate, irrelevant, untimely or incomplete.

§ 4b.8 Agency review of request for correction or amendment of record.

(a)(1) (i) Not later than ten days (excluding Saturdays, Sundays and holidays) after receipt of a request to correct or amend a record, the Privacy Officer shall send an acknowledgment providing an estimate of time within which action will be taken on the request and asking for such further information as may be necessary to process the request. The estimate of time may take into account unusual circumstances as described in § 4b.5(a). No acknowledgment will be sent if the request can be reviewed, processed and the individual notified of the results of review (either compliance or denial) within the ten days. Requests filed in person will be acknowledged in writing at the time submitted.

(ii) If the Privacy Officer fails to send the acknowledgment within the ten days, as provided above, the requester may ask the responsible Privacy Appeals Officer, identified in Appendix B to this part, to take corrective action. No failure of a Privacy Officer to send an acknowledgment shall confer administrative finality for purposes of judicial review.

(2) Promptly after acknowledging receipt of a request, or after receiving such further information as might have been requested, or after arriving at a decision within the ten days, the Privacy Officer shall either:

(i) Make the requested correction or amendment and advise the individual in writing of such action, providing either a copy of the corrected or amended record or a statement as to the means whereby the correction or amendment was effected in cases where a copy cannot be provided (for example, erasure of information from a record maintained only in magnetically recorded computer files); or,

(ii) Inform the individual in writing that his or her request is denied and provide the following information:

(A) The Privacy Officer's name and title or position;

(B) The date of the denial;

(C) The reasons for the denial, including citation to the appropriate sections of the Act and this part; and,

(D) The procedures for appeal of the denial as set forth in § 4b.9, including the name and address of the responsible Privacy Appeals Officer from Appendix C to this part.

The term "promptly" in this subsection means within thirty days (excluding Saturdays, Sundays and holidays). If the Privacy Officer cannot make the determination within thirty days, the individual will be advised in writing of the reason therefor and of the estimated date by which the determination will be made.

(b) Whenever an individual's record is corrected or amended pursuant to a request by that individual, the Privacy Officer shall see to the notification of all persons and agencies to which the corrected or amended portion of the record had been disclosed prior to its correction or amendment, if an accounting of such disclosure required by the Act was made. The notification shall require a recipient agency maintaining the record to acknowledge receipt of the notification, to correct or amend the record and to apprise any agency or person to which it had disclosed the record of the substance of the correction or amendment.

(c) The following criteria will be considered by the Privacy Officer in reviewing a request for correction or amendment:

(1) The sufficiency of the evidence submitted by the individual;

(2) The factual accuracy of the information;

(3) The relevance and necessity of the information in terms of purpose for which it was collected;

(4) The timeliness and currency of the information in light of the purpose for which it was collected;

(5) The completeness of the information in terms of the purpose for which it was collected;

(6) The degree of risk that denial of the request could unfairly result in determinations adverse to the individual;

(7) The character of the record sought to be corrected or amended; and,

(8) The propriety and feasibility of complying with the specific means of correction or amendment requested by the individual.

(d) The Department will not undertake to gather evidence for the individual, but does reserve the right to verify the evidence which the individual submits.

(e) Correction or amendment of a record requested by an individual will be denied only upon a determination by the Privacy Officer that:

(1) The individual has failed to establish, by a preponderance of the evidence, the propriety of the correction or amendment in light of the criteria set forth in paragraph (c) of this section;

(2) The record sought to be corrected or amended is part of the official record in a terminated judicial, quasi-judicial or quasi-legislative proceeding to which the individual was a party or participant;

(3) The information in the record sought to be corrected or amended, or the record sought to be corrected or amended, is the subject of a pending judicial, quasi-judicial or quasi-legislative proceeding to which the individual is a party or participant;

(4) The correction or amendment would violate a duly enacted statute or promulgated regulation; or,

(5) The individual unreasonably has failed to comply with the procedural requirements of this part.

(f) If a request is partially granted and partially denied, the Privacy Officer shall follow the appropriate procedures of this section as to the records within the grant and the records within the denial.

§ 4b.9 Appeal of initial adverse agency determination on correction or amendment.

(a) When a request for correction or amendment has been denied initially under § 4b.8, the individual may submit a written appeal within thirty days after the date of the initial denial. When an appeal is submitted by mail, the postmark is conclusive as to timeliness.

(b) An appeal shall be addressed to the Privacy Appeals Officer identified in the initial denial (that official is authorized to make final determinations). The processing of appeals will be facilitated if the words "PRIVACY APPEAL" appear in capital letters on both the envelope and the top of the appeal papers. An appeal not addressed and marked as provided herein will be so marked by Department personnel when it is so identified, and will be forwarded immediately to the responsible Privacy Appeals Officer. An appeal which is not properly addressed by the individual will not be deemed to have been "received" for purposes of measuring the time periods in this section until actual receipt by the Privacy Appeals Officer. In each instance when an appeal so forwarded is received, the Privacy Appeals Officer shall notify the individual that his or her appeal was improperly addressed and the date when the appeal was received at the proper address.

(c) The individual's appeal papers shall include a statement of the reasons why the initial denial is believed to be in error and the Department's control number assigned to the request. The

appeal shall be signed by the individual. The record which the individual requests be corrected or amended and all correspondence between the Privacy Officer and the requester will be supplied by the Privacy Officer who issued the initial denial. While the foregoing normally will comprise the entire record on appeal, the Privacy Appeals Officer may seek additional information necessary to assure that the final determination is fair and equitable and, in such instances, the additional information will be disclosed to the individual to the greatest extent possible and an opportunity provided for comment thereon.

(d) No personal appearance or hearing on appeal will be allowed.

(e) The Privacy Appeals Officer shall act upon the appeal and issue a final determination in writing not later than thirty days (excluding Saturdays, Sundays and holidays) from the date on which the appeal is received; provided, that the Privacy Appeals Officer may extend the thirty days upon deciding that a fair and equitable review cannot be made within that period, but only if the individual is advised in writing of the reason for the extension and the estimated date by which a final determination will issue. The estimated date should not be later than the sixtieth day (excluding Saturdays, Sundays and holidays) after receipt of the appeal unless unusual circumstances, as described in § 4b.5(a), are met.

(f) If the appeal is determined in favor of the individual, the final determination shall include the specific corrections or amendments to be made and a copy thereof shall be transmitted promptly both to the individual and to the Privacy Officer who issued the initial denial. Upon receipt of such final determination, the Privacy Officer promptly shall take the actions set forth in §§ 4b.8(a)(2)(i) and 4b.8(b).

(g) If the appeal is denied, the final determination shall be transmitted promptly to the individual and state the reasons for the denial. The notice of final determination also shall inform the individual of the following:

(1) The right of the individual under the Act to file a concise statement of reasons for disagreeing with the final determination. The statement ordinarily should not exceed one page and the Department reserves the right to reject a statement of excessive length. Such a statement shall be filed with the Privacy Appeals Officer. It should provide the Department control number assigned to the request, indicate the date of the final determination and be signed by the individual. The Privacy Appeals Officer shall acknowledge receipt of such statement and inform the individual of the date on which it was received;

(2) The facts that any such disagreement statement filed by the individual will be noted in the disputed record, that the purposes and uses to which the statement will be put are those applicable to the record in which it is noted, and that a copy of the statement will be provided to persons and agencies to which the record is disclosed subsequent to the date of receipt of such statement;

(3) The fact that the Department will append to any such disagreement statement filed by the individual, a copy of the final determination or summary thereof which also will be provided to persons and agencies to which the disagreement statement is disclosed; and,

(4) The right of the individual to judicial review of the final determination under 5 U.S.C. 552a(g)(1)(A), as limited by 5 U.S.C. 552a(g)(5).

(h) In making the final determination, the Privacy Appeals Officer shall employ the criteria set forth in § 4b.8(c) and shall deny an appeal only on the grounds set forth in § 4b.8(e).

(i) If an appeal is partially granted and partially denied, the Privacy Appeals Officer shall follow the appropriate procedures of this section as to the records within the grant and the records within the denial.

(j) Although a copy of the final determination or a summary thereof will be treated as part of the individual's record for purposes of disclosure in instances where the individual has filed a disagreement statement, it will not be subject to correction or amendment by the individual.

(k) The provisions of paragraphs (g)(1) through (3) of this section satisfy the requirements of 5 U.S.C. 552a(e)(3).

§ 4b.10 Disclosure of record to person other than the individual to whom it pertains.

(a) The Department may disclose a record pertaining to an individual to a person other than the individual to whom it pertains only in the following instances:

(1) Upon written request by the individual, including authorization under § 4b.5(f);

(2) With the prior written consent of the individual;

(3) To a parent or legal guardian under 5 U.S.C. 552a(h);

(4) When required by the Act and not covered explicitly by the provisions of 5 U.S.C. 552a(b); and

(5) When permitted under 5 U.S.C. 552a(b)(1) through (11), which read as follows: [1]

(i) To those officers and employees of the agency which maintains the record who have a need for the record in the performance of their duties;

(ii) Required under section 552 of this title;

(iii) For a routine use as defined in paragraph (a)(7) of this section and described under paragraph (e)(4)(D) of this section;

(iv) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13;

(v) To a recipient who has provided the agency with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(vi) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(vii) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the agency which maintains the record specifying the particular portion desired and the law enforcement activity for which the record is sought;

(viii) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(ix) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(x) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(xi) Pursuant to the order of a court of competent jurisdiction.

[1] 5 U.S.C. 552a(b)(4) has no application within the Department.

(b) The situations referred to in paragraph (a)(4) of this section include the following:

(1) 5 U.S.C. 552a(c)(4) requires dissemination of a corrected or amended record or notation of a disagreement statement by the Department in certain circumstances;

(2) 5 U.S.C. 552a(d) requires disclosure of records to the individual to whom they pertain, upon request;

(3) 5 U.S.C. 552a(g) authorizes civil action by an individual and requires disclosure by the Department to the court;

(4) Section 5(e)(2) of the Act authorizes release of any records or information by the Department to the Privacy Protection Study Commission upon request of the Chairman; and

(5) Section 6 of the Act authorizes the Office of Management and Budget to provide the Department with continuing oversight and assistance in implementation of the Act.

(c) The Privacy Officer shall make an accounting of each disclosure by him of any record contained in a system of records in accordance with 5 U.S.C. 552a(c) (1) and (2). Except for a disclosure made under 5 U.S.C. 552a(b)(7), the Privacy Officer shall make such accounting available to any individual, insofar as it pertains to that individual, on request submitted in accordance with § 4b.4. The Privacy Officer shall make reasonable efforts to notify any individual when any record in a system of records is disclosed to any person under compulsory legal process, promptly upon being informed that such process has become a matter of public record.

§ 4b.11 Fees.

(a) The only fees to be charged to or collected from an individual under the provisions of this part are for copying records at the request of the individ-ual.

(1) No fees shall be charged or collected for the following: Search for and retrieval of the records; review of the records; copying at the initiative of the Department without a request from the individual; transportation of records and personnel; and first-class postage.

(2) It is the policy of the Department to provide an individual with one copy of each record corrected or amended pursuant to his or her request without charge as evidence of the correction or amendment.

(3) As required by the United States Civil Service Commission in its published regulations implementing the Act, the Department will charge no fee for a single copy of a personnel record covered by that Commission's Government-wide published notice of systems of records.

(b) The copying fees prescribed by paragraph (a) of this section are:

$0.07	Each copy of each page, up to 8½" x 14", made by photocopy or similar process.
$0.25	Each copy of each microform frame printed on paper.
$0.25	Each aperture card.
$0.25	Each 105-mm fiche.
$7.00	Each 100' roll of 35-mm microfilm.
$6.00	Each 100' roll of 16-mm microfilm.
$0.20	Each page of computer printout without regard to the number of carbon copies concurrently printed.

Other copying forms (e.g., typing or printing) will be charged at direct cost, including personnel and equipment costs.

(c) All copying fees shall be paid by the individual before the copying will be undertaken. Payments shall be made in cash or, preferably, by check or money order payable to "U.S. Department of Commerce," and they shall be paid or sent to the office stated in the billing notice, or if none, to the Privacy Officer processing the request. Where appropriate, payment may be required in the form of certified check.

(d) A copying fee totaling $1 or less shall be waived, but the copying fees for contemporaneous requests by the same individual shall be aggregated to determine the total fee.

A copying fee shall not be charged or collected, or alternatively, it may be reduced, when it is determined by the Privacy Officer, based on a petition therefor, that the petitioning individual is indigent and that Department resources permit a waiver of all or part of the fee. An individual is deemed to be indigent when without income or resources sufficient to pay the fees.

(e) Special and additional services provided at the request of the individual, such as certification or authentication, postal insurance and special mailing arrangement costs, will be charged to the individual in accordance with other published regulations of the Department pursuant to statute (for example, 31 U.S.C. 483a).

(f) This section applies only to individuals making requests under this part. To the extent an individual makes a request under the Freedom of Information Act, as provided in § 4b.1(e) (2), (3) and (5), the fees provisions of Part 4 of this Chapter shall apply. All other persons shall remain subject to fees and charges prescribed by other and appropriate authorities.

§ 4b.12 Penalties.

(a) The Act provides, in pertinent part:

Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000. (5 U.S.C. 552a(i)(3)).

(b) A person who falsely or fraudulently attempts to obtain records under the Act also may be subject to prosecution under such other criminal statutes as 18 U.S.C. 494, 495 and 1001.

§ 4b.13 General exemptions.

(a) Individuals may not have access to records maintained by the Department but which were provided by another agency which has determined by regulation that such information is subject to general exemption under 5 U.S.C. 552a(j). If such exempt records are within a request for access, the Department will advise the individual of their existence and of the name and address of the source agency. For any further information concerning the record and the exemption, the individual must contact that source agency.

(b) The general exemptions determined to be necessary and proper with respect to systems of records maintained by the Department, including the parts of each system to be exempted, the provisions of the Act from which they are exempted, and the justification for the exemption, are as follows:

(1) *Individuals identified in Export Administration compliance proceedings or investigations—COMMERCE/ITA–1.* Pursuant to 5 U.S.C. 552a(j)(2), these records are hereby determined to be exempt from all provisions of the Act, except 5 U.S.C. 552a (b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10), and (11), and (i). These exemptions are necessary to insure the proper functioning of the law enforcement activity, to protect confidential sources of information, to fulfill promises of confidentiality, to maintain the integrity of the law enforcement process, to avoid premature disclosure of the knowledge of criminal activity and the evidentiary bases of possible enforcement actions, to prevent interference with law enforcement proceedings, to avoid disclosure of investigative techniques, and to avoid the endangering of law enforcement personnel. Section 7(c) of the Export Administration Act of 1969, as amended, also protects this information from disclosure.

(2) *Fisheries Law Enforcement Case Files—COMMERCE/NOAA–11.* Pursuant to 5 U.S.C. 552a(j)(2), these records are hereby determined to be exempt from all provisions of the Act, except 5 U.S.C. 552a (b), (c) (1) and (2), (e) (4) (A) through (F), (e) (6), (7), (9), (10), and (11), and (i). These exemptions are necessary to insure the proper functioning of the law enforcement

activity, to protect confidential sources of information, to fulfill promises of confidentiality, to prevent interference with law enforcement proceedings, to avoid the disclosure of investigative techniques, to avoid the endangering of law enforcement personnel, to avoid premature disclosure of the knowledge of criminal activity and the evidentiary bases of possible enforcement actions, and to maintain the integrity of the law enforcement process.

(3) *Investigative Records—Contract and Grant Frauds and Employee Criminal Misconduct—COMMERCE/DEPT.–12.* Pursuant to 5 U.S.C. 552a(j)(2), these records are hereby determined to be exempt from all provisions of the Act, except 5 U.S.C. 552a (b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10), and (11), and (i). These exemptions are necessary to insure the proper functions of the law enforcement activity, to protect confidential sources of information, to fulfill promises of confidentiality, to prevent interference with law enforcement proceedings, to avoid the disclosure of investigative techniques, to avoid the endangering of law enforcement personnel, to avoid premature disclosure of the knowledge of criminal activity and the evidentiary bases of possible enforcement actions, and to maintain the integrity of the law enforcement process.

(5 U.S.C. 552a(f) and (k), sec. 3 of the Privacy Act of 1974 (Pub. L. 93–579, 88 Stat. 1896)]

[40 FR 45621, Oct. 2, 1975; 40 FR 50662, Oct. 30, 1975; 40 FR 51168, Nov. 3, 1975, as amended at 43 FR 43020, Sept. 22, 1978]

§ 4b.14 Specific exemptions.

(a) Some systems of records under the Act which are maintained by the Department contain, from time to time, material subject to the exemption appearing at 5 U.S.C. 552a(k)(1), relating to national defense and foreign policy materials. The systems of records published in the **Federal Register** by the Department which are within this exemption are:

COMMERCE/ITA–1, COMMERCE/ITA–2, COMMERCE/ITA–3, COMMERCE/NOAA–11, COMMERCE/PAT–TM–4, COMMERCE/PAT–TM–6, COMMERCE/PAT–TM–7, COMMERCE/PAT–TM–8, COMMERCE/PAT–TM–9, COMMERCE/DEPT–12, COMMERCE/DEPT–13, and COMMERCE/DEPT–14.

The Department hereby asserts a claim to exemption of such materials wherever they might appear in such systems of records, or any systems of records, at present or in the future. The materials would be exempt from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f). The reason therefor is to protect the materials required by Executive order to be kept secret in the interest of the national defense and foreign policy.

(b) The specific exemptions determined to be necessary and proper with respect to systems of records maintained by the Department, including the parts of each system to be exempted, the provisions of the Act from which they are exempted, and the justification for the exemption, are as follows:

(1) *Exempt under 5 U.S.C. 552a(k)(1).* The systems of records exempt hereunder appear in paragraph (a) of this section. The claims for exemption of COMMERCE/DEPT–12, COMMERCE/ITA–1, and COMMERCE/NOAA–11 under this paragraph are subject to the condition that the general exemption claimed in § 4b.13(b)(3) is held to be invalid.

(2) *Exempt under 5 U.S.C. 552a(k)(2).* The systems of records exempt (some only conditionally), the sections of the Act from which exempted, and the reasons therefor are as follows:

(i) Individuals identified in Export Administration compliance proceedings or investigations—COMMERCE/ITA–1, but only on condition that the general exemption claimed in § 4b.13(b)(1) is held to be invalid;

(ii) Individuals involved in export transactions—COMMERCE/ITA–2;

(iii) Fisheries Law Enforcement Case Files—COMMERCE/NOAA–11, but only on condition that the general exemption claimed in § 4b.13(b)(2) is held to be invalid;

(iv) Investigative Records—Contract and Grant Frauds and Employee Criminal Misconduct—COMMERCE/DEPT–12, but only on condition that the general exemption claimed in § 4b.13(b)(3) is held to be invalid;

(v) Investigative Records—Persons Within the Investigative Jurisdiction of the Department—COMMERCE/DEPT–13;

(vi) Litigation, Claims and Administrative Proceeding Records—COMMERCE/DEPT–14; and,

(vii) Non-Registered Persons Rendering Assistance to Patent Applicants—COMMERCE/PAT–TM–5.

The foregoing are exempted from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f). The reasons for asserting the exemption are to prevent subjects of investigation from frustrating the investigatory process, to insure the proper functioning and integrity of law enforcement activities, to prevent disclosure of investigative techniques, to maintain the ability to obtain necessary information, to fulfill commitments made to sources to protect their identities and the confidentiality of information and to avoid endangering these sources and law enforcement personnel. Special note is taken of the fact that the proviso clause in this exemption imports due process and procedural protections for the individual. The existence and general character of the information exempted will be made known to the individual to whom it pertains.

(3) *Exempt under 5 U.S.C. 552a(k) (4).* The systems of records exempt, the sections of the Act from which exempted, and the reasons therefor are as follows:

(i) Agricultural Census Records for 1964 (partial), 1969, and 1974—COMMERCE/CENSUS–1;

(ii) Individual and Household Statistical Surveys and Special Census Studies Records—COMMERCE/CENSUS–3;

(iii) Minority-Owned Business Enterprises Survey Records—COMMERCE/CENSUS–4;

(iv) Population and Housing Census Records for 1960 and 1970—COMMERCE/CENSUS–5;

(v) Population Census Personal Service Records for 1900 and All Subsequent Decennial Censuses—COMMERCE/CENSUS–6; and,

(vi) Special Censuses of Population Conducted for State and Local Government—COMMERCE/CENSUS–7.

The foregoing are exempted from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G) (H), and (I), and (f). The reasons for asserting the exemption are to comply with the prescription of Title 13, United States Code, especially sections 8 and 9 relating to prohibitions against disclosure, and to avoid needless consideration of these records whose sole statistical use comports fully with a basic purpose of the Act, namely, no adverse determinations may be made from these records as to any identifiable individual.

(4) *Exempt under 5 U.S.C. 552a(k)(5). The systems of records exempt (some only conditionally), the sections of the act from which exempted, and the reasons therefor are as follows:*

(i) Applications to U.S. Merchant Marine Academy (USMMA)—COMMERCE/MA–1;

(ii) USMMA Midshipman Medical Files—COMMERCE/MA–17;

(iii) USMMA Midshipman Personnel Files—COMMERCE/MA–18;

(iv) USMMA Non-Appropriated fund Employees—COMMERCE/MA–19;

(v) Applicants for the NOAA Corps—COMMERCE/NOAA–4;

(vi) Commissioned Officer Official Personnel Folders—COMMERCE/NOAA–7;

(vii) Conflict of Interest Records, Appointed Officials—COMMERCE/DEPT–3;

(viii) Investigative Records—Contract and Grant Frauds and Employee Criminal Misconduct—COMMERCE/DEPT–12, but only on condition that the general exemption claimed in § 4b.13(b)(3) is held to be invalid;

(ix) Investigative Records—Persons Within the Investigative Jurisdiction of the Department—COMMERCE/DEPT–13; and,

(x) Litigation, Claims, and Administrative Proceeding Records—COMMERCE/DEPT–14.

The foregoing are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f). The reasons for asserting the exemption are to maintain the ability to obtain candid and necessary information, to fulfill commitments made to sources to protect the confidentiality of information, to avoid endangering these sources and, ultimately, to facilitate proper selection or continuance of the best applicants or persons for a given position or contract. Special note is made of the limitation on the extent to which this exemption may be asserted. The existence and general character of the information exempted will be made known to the individual to whom it pertains.

(c) At the present time, the Department claims no exemption under 5 U.S.C. 552a(k) (3), (6) and (7).

(5 U.S.C. 552a (f) and (k), sec. 3 of the Privacy Act of 1974 (Pub. L. 93–579, 88 Stat. 1896).)

[40 FR 45621, Oct. 2, 1975; 40 FR 50682, Oct. 30, 1975; 40 FR 51168, Nov. 3, 1975, as amended at 43 Fr 43021, Sept. 22, 1978]

Appendix A—Officials To Receive Inquiries, Requests for Access and Requests for Correction or Amendment [1]

For records in systems of records located [2]
Privacy Officer

The Office of the Secretary and all Departmental staff offices—Director, Office of Organization and Management Systems, Main Commerce Building, Washington, D.C. 20230

Office of the Inspector General—Assistant Inspector General for Investigations, Office of the Inspector General, 1325 G Street, N.W., Room 1060, Washington, D.C. 20006

Bureau of Economic Analysis—Chief, Management and Organization Branch, Bureau of Economic Analysis, Tower Building, 1401 K Street, N.W., Washington, D.C. 20230

Bureau of the Census—Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20230

Bureau of Industrial Economics—Administrative Officer, Room 4845, Main Commerce Building, Washington, D.C. 20230

Economic Development Administration—Director, Office of Public Affairs, Economic Development Administration, Main Commerce Building, Washington, D.C. 21230

International Trade Administration—Privacy Act Officer, Office of Management and Systems, International Trade Administration, Room 3102, Main Commerce Building, Washington, D.C. 20230

Minority Business Development Agency—Privacy Officer, Office of Chief Counsel, Minority Business Development Agency, Main Commerce Building, Washington, D.C. 20230

National Bureau of Standards—Deputy Director of Administration, National Bureau of Standards, Room A1105, Administration Building, Washington, D.C. 20234.

National Oceanic and Atmospheric Administration:

Inquiries Only:

All NOAA except NOAA Corps—Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Blvd., Rockville, Maryland 20852

NOAA Corps—Director, National Oceanic and Atmospheric Administration Corps, 6010 Executive Boulevard, Rockville, Maryland 20852

Requests:

All NOAA including NOAA Corps—Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852

National Telecommunication & Information Administration—Director of Administration, National Telecommunications & Information Service, U.S. Department of Commerce, Washington, D.C. 20504

National Technical Information Service—Associate Director for Financial and Administrative Management, National Technical Information Service, Springfield, Virginia 22161

Patent and Trademark Office—Solicitor, Patent and Trademark Office, Washington, D.C. 20231

United States Travel Service—Director, Office of Management and Administration, United States Travel Service, Main Commerce Building, Washington, D.C. 20230

[46 FR 63496, Dec. 31,1981]

Appendix B—Officials To Receive Appeals From Adverse Determination on Correction or Amendment

For records in systems of records located in—
Privacy Appeals Officer

The Office of the Secretary and all Departmental staff office—Assistant Secretary for Administration, Main Commerce Building, Washington, D.C. 20230

Office of the Inspector General—Inspector General, Main Commerce Building, Washington D.C. 20230

Bureau of Economic Analysis—Director, Bureau of Economic Analysis, Tower Building, 1401 K Street, N.W., Washington, D.C. 20230

Bureau of the Census—Director, Bureau of the Census, Federal Building 3, Washington, D.C. 20233

Bureau of Industrial Economics—Director, Bureau of Industrial Economics, Main Commerce Building, Washington, D.C. 20230

Economic Development Administration—Assistant Secretary for Economic Development, Main Commerce Building, Washington, D.C. 20230

International Trade Administration—Under Secretary for International Trade, Main Commerce Building, Washington, D.C. 20230

Minority Business Development Agency—Director, Minority Business Development Agency, Main Commerce Building, Washington, D.C. 20230

National Bureau of Standards—Director, National Bureau of Standards, Administration Building, Washington, D.C. 20234

National Oceanic and Atmospheric Administration—Administrator, National Oceanic and Atmospheric Administration, Main Commerce Building, Washington, D.C. 20230

National Telecommunications & Information Administration—Assistant Secretary for Communications and Information, 1800 G Street, N.W., Washington, D.C. 20504

National Technical Information Service—Director, National Technical Information Service, Springfield, Virginia 22161

Patent and Trademark Office—Commissioner, Patent and Trademark Office, Washington, D.C. 20231

United States Travel Service—Assistant Secretary for Tourism, Main Commerce Building, Washington, D.C. 20230

[46 FR 63496, Dec. 31,1981]

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[1] National Oceanic and Atmospheric Administration subject to division of responsibilities noted below.

[2] If the location of the records within the Department is unknown, address the inquiry to the Privacy Officer for the Office of the Secretary.

APPENDIX C

SYSTEMS OF RECORDS NOTICED BY OTHER AGENCIES AND APPLICABLE TO RECORDS OF THE DEPARTMENT AND APPLICABILITY OF THIS PART THERETO

Category of Records	*Other Federal agency*
Federal Personnel Records	Office of Personnel Management [1]
Federal Employee Compensation Act Program	Department of Labor [2]
Equal Employment Opportunity under E.O. 11246, as amended	Department of Labor [2]
Foreign Service Officer Appraisals	Department of State [3]
Payroll and Travel Records of Department Employees at Diplomatic Posts Overseas.	Department of State [3]
Equal Employment Opportunity Complaint Records and Appeal Records.	Equal Employment Opportunity Commission [4]

[1] The provisions of this part do not apply to these records covered by notices of systems of records published by the U.S. Office of Personnel Management for all agencies. The regulations of that Office alone apply.

[2] The provisions of this part apply only initially to these records covered by notices of systems of records published by the U.S. Department of Labor for all agencies. The regulations of that Department attach at the point of any denial for access or for correction or amendment.

[3] The provisions of this part do not apply to these records covered by notices of systems of records published by the U.S. Department of State for all agencies. The regulations of that Department alone apply.

[4] The provisions of this part do apply to these records covered by notices of systems of records published by the Equal Employment Opportunity Commission for all agencies.

[45 FR 82103, Dec. 12, 1980]

APPENDIX D

FACSIMILE OF OFFICIAL FORM FOR INQUIRIES AND REQUESTS

Form Approved; OMB No. 41-R1510

Form CD-316 (5-76) PRESCRIBED BY 15CFR PART 40 (DAO 205-76)

U.S. DEPARTMENT OF COMMERCE

PRIVACY ACT INFORMATION REQUEST

(NOTE: Use of this form is recommended, but is not mandatory)

DEPT. FACILITY

CONTROL NO.

INSTRUCTIONS: To Request Information or Action Under the Act, Complete appropriate Items in Part I. Retain Gold Copy; Submit Others to Department of Commerce. Part II is For Agency Use Only.

SPECIAL NOTICE: FALSE STATEMENTS SUBJECT TO CRIMINAL PENALTIES. SEE REVERSE SIDE.

PART I - REQUESTER

1. Name of individual whose record(s) is sought *(Please print)*:

2. Individual whose record(s) is sought is:
- ☐ U.S. citizen
- ☐ Alien lawfully admitted for permanent residence

3. Give any identifying data that would help locate the record (e.g., maiden name, occupational license number, period or place of employment, etc.):

4. Record requested *(Please describe. Also give record system name and number, if known)*:

5. Action requested:
- a. ☐ Tell me how to exercise my rights under the Privacy Act.
- *b. ☐ Tell me if you have the requested record(s).
- *c. ☐ Tell me when and where I may have access to the requested record(s).
- *d. ☐ Please send a copy of the requested record(s).

*(If the request concerns records of another individual who is a ward or minor, and the requester is the ward's guardian or minor's parent, the requester must check Item 6, and must attach a copy of court guardianship order or minor's birth certificate)

6. Requester is:

☐ Guardian of individual / ☐ Parent of minor individual } whose record(s) is sought

7. Requester's:

Name *(Please print)* _____ Address _____

Signature _____

Telephone number *(Optional)* _____

8. Date

NOTE: Item 9 should be completed ONLY IF requester--
- --Requests action under Item 5b, c, or d, AND
- --Seeks a record NOT disclosable to any person under the Freedom of Information Act (5 U.S.C. 552), AND
- --Does NOT appear in person before an authorized employee of the Department to have his/her identity verified.

9. Certificate of Notary Public, or other officer

State of _____ county of _____, ss

_____, the subscribing requester, came before me a _____, in and for the aforesaid county and state, this _____ day of _____, 19____, and established (his) (her) identity to my satisfaction. My commission expires _____. Signature _____

PART II - FOR AGENCY USE ONLY

Proof of identity established in person before *(Name, title, location)*:

Received by

Date request received

Action assigned to | Date

Due date of response to Requester

Fee data:

Amount due $ _____

Date received _____

Non-collectable waiver:

Copy Distribution: Requester keeps Canary; sends others to Department. (Privacy Officers keeps Pink; sends others to Action Office, which retains Goldenrod and returns White to Privacy Officer.)

SPECIAL NOTICE

FALSE STATEMENTS SUBJECT TO CRIMINAL PENALTIES

The Privacy Act of 1974 (Public Law 93-579), 5 U.S.C. 552a(i)(3), states:
"Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretences shall be guilty of a misdemeanor and fined not more than $5,000."

DEPARTMENT OF ENERGY

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DOE-75 Savannah River Plant Telephone Call Account System (Call Account System)

DOE-1

System name: DOE Personnel and General Employment Records (this system of records supplements the General Personnel Records System of the Office of Personnel Management.

Security classification: Unclassified.

System location: The locations listed in items 1 through 4, 6 through 12, 14 through 19, 21 through 26, 28, 29, 31, 33 and 35 of Appendix A and the following additional locations:

Environmental Measurement Laboratories
376 Hudson Street
New York, New York 10014

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schnectady Naval Reactors Office
P.O. Box 1069
Schnectady, New York 12301

Categories of individuals covered by the system: Current and former employees, consultants, board members, and applicants (only to the extent they are considered for competitive selection), specifically including all such personnel of the Federal Energy Regulatory Commission.

Categories of records in the system: Name, social security number, sex, grade level, occupational code, Official Personnel Folders (SF-66), Service Record Cards (SF-7), records on suggestions and awards, training request and authorization data, training course evaluation statements, appraisals resulting from annual supervisor-employee review, pay requests and dispositions, reduction-in-force registers (including associated records of competitive levels and competitive areas), reemployment and repromotion priority lists, retirement-associated eligibility and calculations, records on competitive selections (Form 178, Standard Form 39, and supporting documents), central copy of approved position descriptions, correspondence related to and copies of employee appeals, grievances, and complaints, including records of hearing's or examiner's reports, lists of separated employees, correspondence from employees requesting transfer or reassignment, average grade data, minority group code, data related to and derived from the "Personnel Automated Records and Information System" (PARIS).

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; 5 U.S.C. 2102 et seq.; Office of Personnel Management regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, computer printouts, punched cards, magnetic tape and disk, microfilm.

Retrievability: By name and social security number.

Safeguards: Records are maintained in locked file cabinets in controlled access rooms. Computerized records are maintained in the

DOE computer center with access limited to those with a need to know.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director of Personnel

U.S. Department of Energy
Washington, D.C. 20585

Field Offices: The managers and directors of field locations 1 through 4, 6, 7, 9 through 12, 14 through 19, 21 through 26, 28, 29, 31, 33 and 35 in Appendix A and of the Pittsburgh Naval Reactors, and Schenectady Naval Reactors Offices and the Environmental Measurement Laboratory listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 4, 6 through 12, 14 through 19, 21 through 26, 28, 29, 31, 33, and 35 of Appendix A and the Pittsburgh Naval Reactors Office, the Schenectady Naval Reactors Office and the Environmental Measurement Laboratory listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR, Part 206 or Part 708 should apply.

b. Required identifying information: Complete name and, if appropriate, the geographic location(s) and organization(s) where requester believes such record may be located, social security number, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI, and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 4, 6 through 12, 14 through 19, 21 through 26, 28, 29, 31, 33 and 35 of Appendix A, the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices, and the Environmental Measurement Laboratory listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name and, if appropriate, the geographic location(s) and organization(s) where requester believes such record may be located, social security number, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 4, 6 through 12, 14 through 19, 21 through 26, 28, 29, 31, 33 and 35 of Appendix A, the Pittsburgh Naval Reactors and Schnectady Naval Reactors Offices, and the Environmental Measurement Laboratory listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name and, if appropriate, the geographic location(s) and organization(s) where requester believes such record may be located, social security number, date of birth, and time period.

Record access procedures: The subject individual, supervisors, other Government agencies, former employers, references provided by subject individual.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), (I), and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k), (2), (5), or (6).

DOE-2

System name: DOE Personnel: Supervisor-Maintained Personnel Records.

Security classification: Unclassified.

System location: The locations listed as items 1-35 in Appendix A and the following additional locations:

Clinch River Breeder Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Current DOE employees; in a few cases, records include former employees, assigned military personnel, or applicants for employment.

Categories of records in the system: The contents vary from office to office, but include all or some of the following: copies and summaries of employment history, job descriptions, education, address, next of kin, phone number, date of birth, awards and commendations received, participation in professional or community activities, training, earnings and leave data, travel actions, certification or qualification examinations, injury reports, appraisals, copy of ADP-produced Form 702, copy of Form 50, assignment records, security infraction notices, records of supervisor-employee discussions, reprimands, admonitions, adverse actions, contingency planning data, security clearance status, and government property in employee's possession.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, computer printout, punched cards, magnetic tape, disk, paper, microfiche.

Retrievability: By name.

Safeguards: Records are maintained in files under the control of supervisory officials.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director of Personnel
U.S. Department of Energy
Washington, D.C. 20585

Also the managers and directors of offices maintaining such records are the System Managers for their respective positions of this system.

Field Offices:

The managers and directors of field locations 1 through 7 and 9 through 35 in Appendix A and of the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Clinch River Breeder Reactor, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR, Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A and the Clinch River Breeder Reactor, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A and the Clinch River Breeder Reactor, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The great majority of the data comes directly from the individuals or cognizant supervisory officials; other data comes from copies of personnel action documents.

Systems exempted from certain provisions of the act: The Secretary has exempted certain information in this system from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) of 5 U.S.C. 552a. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k)(5) and (6).

DOE-3

System name: DOE Personnel: Appraisal and Development Records.

Security classification: Unclassified.

System location: The locations listed as items 2, 3, 6 through 12, 14, 15, 26, 28, 29 in Appendix A and the following additional locations:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: All DOE employees.

Categories of records in the system: Supervisor-employee appraisal, (by name of employee), of performance, and preparation of development plans; and, for employees GS-15 and above, an appraisal of managerial potential for the agency Executive Development Program.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: On paper ERDA Forms 622, 622A, 622B, 622C, with some older records on Form 625; computer printouts; punched cards; magnetic tape; disk; other paper; and microfiche.

Retrievability: By name.

Safeguards: Records are usually maintained in lockable file cabinets under the control of supervisory personnel.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

The Director of Personnel
Washington, D.C. 20585

Also the managers and directors of offices maintaining such records are the System Managers for their respective portions of this system.

Field Offices: The managers and directors of field locations 1 through 7 and 9 through 35 in Appendix A and of the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A and Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Supervisors and employees.

Systems exempted from certain provisions of the act: None.

DOE-4

System name: Applications for DOE Employment.

Security classification: Unclassified.

System location: The locations listed as items 1 through 35 in Appendix A and the following additional locations:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Individuals applying for, or inquiring about, employment with DOE and the Federal Energy Regulatory Commission.

Categories of records in the system: Letters of inquiry, application supply file (Standard Form 171, "Personal Qualifications Statement"; general applications, resumes of personal data, education, and work experience and education, military and employment history statements); personnel evaluation forms; completed reference check letters and record check forms; interview summary sheets; candidate ratings performed by DOE; authorization of payment of travel expenses; correspondence related to recruitment, application and employment; test records and academic transcripts (as appropriate); referrals for consideration; medical records; certification of performance ability and medical reports concerning candidates under selective placement programs, such as handicapped persons, offenders and Vietnam veterans; and other documents related to application and employment.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Key operating officials and supervisors (including military personnel assigned to DOE or directly associated with the naval or military application functions of DOE): Referrals of applicants; evaluation of qualifications and selection of candidates under consideration for employment; or in other activities directly concerned with their official responsibilities.

Colleges and universities participating in the DOE recruiting program: Performance of regular practices in placement of students and in receiving information concerning evaluation or selection of their graduates.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, computer printouts, punched cards, magnetic tape, disk, paper, and microfiche.

Retrievability: By name, occupational category, date, register number; in college recruitment files, retrievable by educational institution's name.

Safeguards: Physical security varies with records maintained either in a locked and guarded building or in locked file cabinets. In either case, access is limited on a need-to-know basis.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director of Personnel
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:
The managers and directors of field locations 1-7 and 9-35 in Appendix A and of the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the Systems Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or part 708 should apply.

b. Required identifying information: Full name, social security number, date of birth, occupational category and location at which application or other material was submitted; in case of college recruitment material, applicable college or university name, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A, and the Pittsburgh and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, date of birth, occupational category and location at which application or other material was submitted; in case of college recruitment material, applicable college or university name, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, and the Pittsburgh and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6, and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, date of birth, occupational category and location at which application or other material was submitted; in case of college recruitment material, applicable college or university name, and time period.

Record source categories: Individuals seeking, or referred for, employment; personal references provided by individuals; personnel administrators, officials, assistants, and other staff; interviewers; current and former employers, teachers, supervisors, and other Government agencies; Congressmen, testing officials, State Employment Service; and educational institutions.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4), (G), (H), (I), and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (2, 5, 6).

DOE-5

System name: Personnel Records of Former and Present Contractor Employees.

Security classification: Unclassified.

System location: The locations listed as items 2, 6, 8, 9, 12, 14, 26, 28, and 29 in Appendix A and the following additional locations:

Clinch River Breeder Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Former and present contractor employees.

Categories of records in the system: Name, employment history, earnings, medical history, and other related information.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are maintained in locked or guarded buildings.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Contractor Industrial Relations
U.S. Department of Energy
Washington, D.C. 20545

Field Offices: The managers and directors of field locations 2, 6, 9, 12, 14, 26, 28, and 29 of Appendix A and of the Clinch River Breeder Reactor Plant Project and Schenectady Naval Reactors Office listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1, 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project and the Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1, 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project and the Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project and the Schenectady Naval Reactors Offices listed above under system location in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual's employer.

Systems exempted from certain provisions of the act: None.

DOE-6

System name: Report of Consultants to DOE Contractors.

Security classification: Unclassified.

System location: The locations listed as items 2, 6, 8, 9, 12, 14, 26, 28, and 29 in Appendix A and the following additional locations:

Clinch River Breeder Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Consultants to DOE contractors.

Categories of records in the system: Name, social security number, sex, minority group, citizen, former employer, present employer, education, area of specialization, salary rate per day, total compensation, contractual arrangements and duration and service provided.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape.

Retrievability:

By name, social security number, area of specialization, DOE field office, DOE contractor, sex, minority group.

Safeguards:

Computer security procedures for data safekeeping. Associated records are maintained in locked file cabinets in secured and guarded buildings with access on a need-to-know basis.

Retention and disposal:

Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (Location 8 in Appendix A):

Director
Office of Industrial Relations
U.S. Department of Energy
Washington, D.C. 20585

Field Offices: The managers and directors of field locations 2, 6, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River, Breeder Reactor Plant Project, Pittsburgh Naval Reactors, and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure: a. Requests by an individual to determine if a system of record contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project, the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures: a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project, the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures: a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project, the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location in accordance with DOE's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Reports from individuals, contractors, and Dun and Bradstreet.

Systems exempted from certain provisions of the act: None.

DOE-7

System name: Applications and Reference Checks for Overseas Employment with the International Atomic Energy Agency.

Security classification: Unclassified.

System location: The location listed as item 8 in Appendix A.

Categories of individuals covered by the system: United States citizens interested in employment with International Atomic Energy Agency, Vienna, Austria.

Categories of records in the system: Education, employment history, salary, and personal reference checks.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: United States Mission to IAEA, Vienna and other governmental agencies interested in foreign programs: Evaluation prior to offers of employment.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: By name, specialty, IAEA organizational designation.

Safeguards: Records are maintained in locked file cabinets, with access limited to personnel of the Office of Personnel and the Office of International Affairs.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: System manager(s) and address:

Director or Personnel
U.S. Department of Energy
Washington, D.C. 20585

Notification procedure: a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Individuals seeking employment, references, and information provided by knowledgeable agency personnel.

Systems exempted from certain provisions of the act: None.

DOE-8

System name: Intergovernmental Personnel Act Contracts.

Security classification: Unclassified.

System location: The locations listed as items 1-35 in Appendix A.

Categories of individuals covered by the system: Individuals who are now or have been under IPA contract to DOE.

Categories of records in the system: Names, addresses, social security numbers, telephone numbers, salaries, and related correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Transmittal of data to State and local governments or institutions of higher education to implement IPA contracts, and the routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are maintained in lockable metal file cabinets with access limited to those whose official duties require access.

Retention and disposal: Records are retained for five years and then destroyed.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director of Personnel
U.S. Department of Energy
Washington, D.C. 20585

Field Offices: The managers and directors of field locations 1 through 7 and 9 through 35 in Appendix A are designated the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, social security number, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, social security number, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, social security number, date of birth, and time period.

Record source categories: The subject individual, State or local governments, institutions of higher education.

Systems exempted from certain provisions of the act: None.

DOE-9.

System name: Members of DOE Advisory Committees.

Security classification: Unclassified.

System location:

Office of the Secretary
U.S. Department of Energy
Washington, D.C. 20585

Categories of individuals covered by the system: All individuals who are members of a DOE Advisory Committee.

Categories of records in the system: Name, biographical information, home address and telephone number, work address and telephone number, type of business or organizational affiliation, present position with business or other organization, numbers of years in present position, other related experience, congressional district, and photographs.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The name and mailing address of any Advisory Committee member is provided to anyone requesting it.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are maintained in a locked room, with access limited to those whose official duties require access.

Retention and disposal: Records are retained in a binder while the individual is a member of a committee. Upon a member's termination, records are destroyed or returned to individual.

System manager(s) and address:

Director
Advisory Committee Management Office
U.S. Department of Energy
Washington, D.C. 20585

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual, the individual's supervisor, members of Congress, and public interest groups.

Systems exempted from certain provisions of the act: None.

DOE-10

System name: Time and Accountability Records.

Subsystem A: Office of Enforcement Case Time/Activity Report System

Subsystem B: Energy Information Administration Time and Accountability/Resource Accountability Reports (TA/RAR)

Subsystem C: Office of General Counsel Time and Accountability Reports

Security classification: Subsystems A, B, and C: Unclassified.

System location: Subsystem A: For the national office, paper records are located at:

Office of Enforcement Information
Economic Regulatory Administration
U.S. Department of Energy
2000 M Street, NW.
Washington, D.C. 20461

The machine-readable records are located at:

Optimum Systems, Inc.
5615 Fishers Lane
Rockville, MD 20852

For the ERA regional offices, records are at the locations listed as items 5, 13, 27, 30, and 32 in Appendix A.

Subsystem B:
Paper records:

Energy Information Administration
U.S. Department of Energy
2000 M Street, NW.
Washington, D.C. 20461

Machine-readable records:

Optimum Systems, Inc.
5615 Fishers Lane
Rockville, MD 20852

Subsystem C:

Office of General Counsel
U.S. Department of Energy
Washington, D.C. 20585

and/or other location(s) designated by the General Counsel.

Categories of individuals covered by the system:

Subsystem A: Economic Regulatory Administration employees of the Offices of Enforcement and Special Counsel.

Subsystem B: Energy Information Administration employees of the Office of Energy Data.

Subsystem C: All Office of General Counsel attorneys and paraprofessionals, whether in Headquarters or field offices.

Categories of records in the system:

Subsystem A: Name, social security number, reporting period, office location code, job series code, grade, date on board, date terminated, case number, activity code, work function, hours.

Subsystem B: Name, social security number, reporting period, office location code, job series code, grade, date on board, date terminated, project number, task type, actual hours, computer charges by project, date.

Subsystem C: Name, office unit, reporting period, office location code, grade, case number, project code or description, client code or description, matter code or description, task code or description, hours.

Authority for maintenance of the system: Subsystems A, B, and C: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Subsystem A: Retrieval of data for area offices, regional offices, and the national office for audit management reporting, allocation and development of audit resources, cost-benefit analysis, program and case management, and budget plans.

Subsystem B: Use of data for person-month and resource accountability reports, to inform managers on expenditures of time, to determine levels of ADP support provided to other DOE officers, and for budget plans.

Subsystem C: Retrieval of data for all General Counsel managerial levels (at regional offices, operations offices, and Headquarters) for management reporting, allocation and deployment of legal resources, cost-benefit analysis, program and case management and budget justification and plans.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Subsystems A and C: Paper records, tape, disk, and microfilm.

Subsystem B: Paper records, disk.

Retrievability:

Subsystem A: Name, social security number, reporting period, office location code, job series code, grade, date on board, date terminated, case number.

Subsystem B: Name.

Subsystem C: Name, reporting period, office location code, grade, case number.

Safeguards: Subsystems A and C: Physical, technical, and administrative security is maintained, with access restricted to authorized personnel via passwords.

Subsystem B: Records are maintained in binders in secured area locked by a combination lock.

Retention and disposal:

Subsystem A: Computer record retention is 15 months. Backup history file retention is in accordance with GSA standards.

Subsystem B: Records retained for 2 years.

Subsystem C: Records retained for 2-1/2 years.

System manager(s) and address: Subsystem A:

For records at the national office:

Assistant Administrator for Enforcement
Economic Regulatory Administration
U.S. Department of Energy
2000 M Street, NW.
Washington, D.C. 20461

For records at ERA's regional offices:

The Regional Directors of Enforcement
in the regional offices.

Subsystem B:

Director, Office of Energy Data and Interpretation
Office of Energy Data
Energy Information Administration
U.S. Department of Energy
Washington, D.C. 20461

Subsystem C:

Administrative Officer
Office of General Counsel
U.S. Department of Energy
Washington, D.C. 20585

Notification procedure:

Subsystem A: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those listed in items 5, 8, 13, 27, 30, and 32 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Subsystem B: Requests by an individual to determine if a system of records contains information about him should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Subsystem C: Requests by an individual to determine if a system of records contains information about him should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those listed in items 2, 6, 8, 9, 12, 14, and 16-25 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures:

Subsystem A: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Act Activities, Department of Energy, at the appropriate address from among those listed in items 5, 8, 13, 27, 30, and 32 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Subsystem B: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Subsystem C: Requests by an individual for access to a system of records that contains information about him should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 6, 8, 9, 12, 14, and 16-25 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures:

Subsystem A: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 5, 8, 13, 27, 30, and 32 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Subsystem B: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Subsystem C: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those listed in items 2, 6, 8, 9, 12, 14, and 16-25 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: Subsystems A and C: The subject individual.

Subsystem B: The subject individual, except that the computer charge-back report is the source for computer charges for actual time used.

Systems exempted from certain provisions of the act: Subsystems A, B, and C: None.

DOE-11

System name: Emergency Locator Records. Subsystem A: Telephone Numbers and Addresses of DOE Officials and Support Staff.

Subsystem B: Strategic Petroleum Reserve Emergency Personnel List.

Subsystem C: Energy Information Administration Emergency Personnel List.

Security classification: Subsystem A, B, C: Unclassified.

System location: Subsystem A:

Director, Office of the Secretary
U.S. Department of Energy
James Forrestal Building
Washington, D.C. 20585

Subsystem B:

Strategic Petroleum Reserve
Project Management Office
U.S. Department of Energy
800 Commerce Road West
New Orleans, LA 70123

Strategic Petroleum Reserve Office
U.S. Department of Energy
1726 M Street, NW.

Washington, D.C. 20461

Subsystem C:

Energy Information Administration
U.S. Department of Energy
Washington, D.C. 20461

Categories of individuals covered by the system:

Subsystem A: DOE senior staff officials and support staff.

Subsystem B: Individuals employed by DOE and other Federal agencies and departments and DOE contractors who are involved in the operation of the Strategic Petroleum Reserve Project.

Subsystem C: Office directors and key support staff of the Energy Information Administration and other various Federal officials involved in EIA business.

Categories of records in the system: Subsystem A: Name, home telephone number, home address, individual's title, and spouse's name.

Subsystem B: Name, home address, and business and home telephone numbers.

Subsystem C: Name, home telephone number, and home address.

Authority for maintenance of the system: Subsystems A, B, C: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Subsystem A: The records are available only to Office of the Secretary principals and their selected senior representative. This means that the Secretary, his Executive Assistant; the Under Secretary, his Executive Assistant; the Deputy Under Secretaries; the Special Assistant; the two Assistants to the Secretary; and the Director, Office of the Secretary, and his Executive Assistant, are the only persons in OSE who have access to this listing. Distribution is not made to all OSE staff members, nor is the list made available to other DOE principals, with the exception of the General Counsel, the Assistant Secretary for Policy and Evaluation, the Director, Office of Public Affairs, and the Assistant Secretary for International Affairs.

Subsystem B: The records are made available to the DOE personnel, contractors, and other Government agency personnel involved with the operation of the Strategic Petroleum Reserve Project. The information is used in order to enable contact with appropriate personnel in the event of a program emergency.

Subsystem C: The records are made available only to the staff of the Administrator of the Energy Information Administration to enable contact with appropriate personnel in the event of a program emergency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Subsystems A, B, C: Paper records.

Retrievability: Subsystems A, B, C: Name of subject individual.

Safeguards:

Subsystems A and B: Records are located in lockable drawers or file cabinets in secured rooms with access limited to those whose official duties require access.

Subsystem C: Access is limited to authorized personnel (the immediate staff of the Administrator of the Energy Information Administration) on a need-to-know basis.

Retention and disposal: Subsystems A, B, C: Records are revised when appropriate, at which point the older records are destroyed.

System manager(s) and address: Subsystem A:

Director, Office of the Secretary
U.S. Department of Energy
James Forrestal Building
Washington, D.C. 20585

Subsystem B:

Project Manager
Strategic Petroleum Reserve
Project Management Office
U.S. Department of Energy
800 Commerce Road West
New Orleans, LA 70123

Subsystem C:

Executive Assistant to the Administrator
Energy Information Administration
U.S. Department of Energy
Washington, D.C. 20461

Notification procedure: Subsystems A, B, C: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act Regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures: Subsystems A, B, C: Requests by an inidividual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures: Subsystems A, B, C: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: Subsystems A, B, C: The subject individual.

Systems exempted from certain provisions of the act: Subsystems A, B, C: None.

DOE-12

System name: Nationwide Traineeship Reporting Sytem.

Security classification: Unclassified.

System location: The location listed as items 8 and 26 in Appendix A.

Categories of individuals covered by the system: College graduate students participating in the DOE-sponsored traineeship/laboratory graduate program.

Categories of records in the system: Academic background, employment history, traineeship area of study, and mailing/permanent addresses.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: University traineeship advisers—compliance with contract terms covering traineeship administration functions.

Contractor officials—for possible employment selection/notification.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, punched cards, and magnetic tape.

Retrievability: By name, institution, laboratory, traineeship program class, and traineeship identification number.

Safeguards: Records are maintained in a secure building. Access to magnetic tapes is controlled through established DOE computer center procedures (personnel screening and physical security). Access is on a need-to-know basis.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (item 8 in Appendix A):

The Director
Education Programs Office
U.S. Department of Energy
Washington, D.C. 20545

Field Offices: The manager or director of field location 26 of Appendix A is the System Manager for his portion of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address from among items 8 and 26 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 8 and 26 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 8 and 26 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: University traineeship advisors.

Systems exempted from certain provisions of the act: None.

DOE-13

System name: Payroll and Leave Records.

Security classification: Unclassified.

System location: The locations listed as items 1-35 in Appendix A and the following additional locations:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Categories of individuals covered by the system: DOE personnel and consultants, specifically including personnel and consultants of the Federal Energy Regulatory Commission.

Categories of records in the system: Time and attendance records, earning records, payroll actions and deduction information requests and authorizations for overtime/night differential, and Office of Personnel Management retirement records.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Sections 112(a) and 113 of the Budget and Accounting Procedures Act of 1950 (31 U.S.C. 66(a)); 5 U.S.C. 5101-5115; T. 766 General Accounting Office Policy and Procedures Manual; Federal Personnel Manual Supplement 296-31/293-31.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Treasury Department—Collection of withheld taxes, printing payroll checks and issuing savings bonds.

Internal Revenue Service—Federal income tax processing.

State and Local Governments—State and local income tax processing.

Office of Personnel Management—Retirement records and benefits.

Social Security Administration—Social Security records and benefits.

Department of Labor—Processing Workmen's Compensation claims.

DOD-Military Retired Pay Offices—Adjusting of Military Retirement.

Savings Institutions—Crediting accounts for savings made through payroll deductions.

Employee Unions—Crediting accounts for employees with union dues deductions.

Health Insurance Carriers—To process insurance claims.

GAO-Audit—Verification of accuracy and legality of disbursement.

Veterans' Administration—For evaluation of veteran's benefits to which the individual may be entitled.

States' Departments of Employment Security—For determining entitlement to unemployment compensation or other State benefits.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, punched cards, magnetic tape and disk, and microfiche.

Retrievability: By name, social security number, and payroll number.

Safeguards: Access to magnetic tapes and disk files is controlled through established DOE computer center procedures (personnel screening and physical security). Paper records are maintained in locked cabinets and desks. Access to any record is on a need-to-know basis.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shreeding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Controller
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:

The managers and directors of field location 1-7 and 9-35 in Appendix A and of the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those listed in items 1-35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, location(s) of employment, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those listed in items 1-35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, location(s) of employment, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those listed in items 1-35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320

(February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, location(s) of employment, and time period.

Record source categories: The subject individual, supervisors, timekeepers, official personnel records, and the IRS.

Systems exempted from certain provisions of the act: None.

DOE-14

System name: Report of Compensation.

Security classification: Unclassified.

System location: The locations listed as items 2, 6, 8, 9, 12, 14, 26, 28, and 29 in Appendix A and the following additional locations:

Clinch River Breeder Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301.

Categories of individuals covered by the system: Administrative, professional and scientific personnel.

Categories of records in the system: Name, job title, contractor, current salary (list for

40,000 and above only), amount reimbursed and other compensation (actual and amount reimbursed).

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and paper records.

Retrievability:

By name.

Safeguards:

Computer security procedures for data safekeeping. Associated records are maintained in locked file cabinets in secured and guarded buildings with access on a need-to-know basis.

Retention and disposal:

Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destoryed by shredding, burning, or burial in sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director
Office of Industrial Relations
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:

The managers and directors of field locations 2, 6, 9, 12, 26, 28, and 29 in Appendix A and of the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors, and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure: a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures: a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures: a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 6, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location in accordance with DOE's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Contractor salary administrative personnel.

Systems exempted from certain provisions of the act: None.

DOE-15

System name: Payroll and Pay-Related Data for Employees of Terminated Contractors.

Security classification: Unclassified.

System location: The locations listed as items 2, 8, 14 and 26 in Appendix A, and the following additional location:

Clinch River Breeder Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Categories of individuals covered by the system: Former contractor employees.

Categories of records in the system: Employee payroll data from terminated contractors, employment history, job titles, complaints, salary reviews, and similar information.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are maintained in DOE records holding area.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Contractor Industrial Relations
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:

The managers and directors of field locations 2, 14, and 26 of Appendix A and of the Clinch River Breeder Reactor Plant Project

listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 14 and 26 of Appendix A and the Clinch River Breeder Reactor Office listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 14 and 26 of Appendix A of the Clinch River Breeder Reactor Office listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 14 and 26 of Appendix A and the Clinch River Breeder Reactor Office listed above under system location in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: DOE contractors.

Systems exempted from certain provisions of the act: None.

DOE-16

System name: Reports of Financial Interest.

Security classification: Unclassified.

System location: The locations listed as items 2, 5, 6, 8, 9, 12, 13, 14, 26, 27, 28, 29, 30, 32 and 34 in Appendix A and the following additional locations:

Brookhaven Area Office
Upton, New York 11973

Grand Junction Office
Office of the Chief Counsel
P.O. Box 2567
Grand Junction, Colorado 81501

Kansas City Area Office
Office of Counsel
P.O. Box 202
Kansas City, Missouri 64141

Los Alamos Area Office
Office of the Chief Counsel
528 35th Street
Los Alamos, New Mexico 87544

Pittsburgh Naval Reactors Office
Office of the Chief Counsel
P.O. Box 109
West Mifflin, Pennsylvania 15122

RockyFlats Area Office
P.O. Box 928
Golden, Colorado 80401

Schenectady Naval Reactors Office
Office of the Chief Counsel
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Current or former officers, employees and special Government employees of the DOE or its predecessor agencies, excluding employees of the Federal Energy Regulatory Commission (FERC) (and its predecessor, the Federal Power Commission (FPC)), required to submit financial interest forms in accordance with Executive Order 11222; Title VI of the Department of Energy Organization Act; and regulations or other instructions issued by the DOE and its predecessor agencies (except for the FERC and FPC) in implementation of the Government financial interest program.

Categories of records in the system: Information contained in DOE Report of Financial Interests (Forms DOE-459, 460, 461), in ERDA Conflict of Interest Forms 443 and 269, and in FEA Financial Interest Forms FEA F-82, F-91, and F-254, including individual's name, position title, date of appointment, employment and financial interests, creditors, interest in real property, names and addresses of other persons requested to supply information, individual's certificate of truth and veracity, and correspondence pertaining to the individual's financial interest statement.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; 5 CFR, Part 735 (also Federal Personnel Manual, Chapter 735).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Cognizant appointing officials—to assist the Department, Office of Personnel Management, and the President in determining whether individuals have conflicts or apparent conflicts of interest in the performance of official duties; for counseling of personnel in avoiding violations; for assignment of duties; for law enforcement review.

The public—pursuant to statute, portions of the DOE Forms 459 and 460 (Parts A thereof), and all of FEA Form F-254 are required to be made available to the public.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: By name.

Safeguards: Records are maintained in locked filing cabinets and rooms, or in Class C manipulation-proof, three-way combination locked steel containers. Access is by authorized personnel only.

Retention and disposal: Records generated pursuant to the Department of Energy Organization Act are retained for six years after receipt. ERDA forms and related papers are retained for two years after the individual leaves the position for which the submission is required, or two years after separation, whichever is earlier. FEA records are maintained until the individual severs connection with the agency; no time period for retention after severance was developed by the FEA. Records within DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

General Counsel
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:

The managers, directors, or administrators of field locations 2, 5, 6, 9, 12, 13, 14, 26, 27, 28, 29, 30, 32, and 34 of Appendix A are System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 5, 6, 9, 12, 13, 14, 26, 27, 28, 29, 30, 32, and 34 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Individual's name, DOE (or ERDA or FEA) location of last employment or cognizant office, and time period of employment.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 5, 6, 9, 12, 13, 14, 26, 27, 28, 29, 30, 32, and 34 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Individual's name, DOE (or ERDA or FEA) location of last employment or cognizant office, and time period of employment.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 5, 6, 9, 12, 13, 14, 26, 27, 28, 29, 30, 32, and 34 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Individual's name, DOE (or ERDA or FEA) location of last employment or cognizant office, and time period of employment.

Record source categories: The individual on whom the record is maintained, or other person (such as a trustee, attorney or accountant) identified by the individual as a supplier of information.

Systems exempted from certain provisions of the act: None.

DOE-17

System name: Certificates of Eligibility for FHA Insured Loans.

Security classification: Unclassified.

System location:

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Categories of individuals covered by the system: Categories of individuals covered by the system: Persons having Certificates of Eligibility for FHA insured loans.

Categories of records in the system: Name, employment, and loan information.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Federal Housing Administration (FHA)—for approval by area manager and processing of loan.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are maintained in a locked building.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Field Offices:

Manager
Albuquerque Operations Office
U.S. Department of Energy
P.O. Box 5400
Albuquerque, New Mexico 87115

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 2 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 2 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 2 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth and time period.

Record source categories: Subject individual, employer, real estate broker.

Systems exempted from certain provisions of the act: None.

DOE-18

System name: Accounts Payable Financial System.

Security classification: Unclassified.

System location:

The paper records are located at: The locations listed as items 1-35 in Appendix A.

The machine readable records are located at:

Optimum Systems, Inc.
5615 Fishers Lane
Rockville, Maryland 20852

Categories of individuals covered by the system: Creditors due money from the agency (including employees), former employees, and members of the general public.

Categories of records in the system: Name and address; amount owed and service performed; underpayment or other accounting information; and invoice number.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Paying creditors and the additional routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name and purchase order or contract number, as appropriate.

Safeguards: Physical, technical, and administrative security is maintained, with all storage equipment and rooms locked when not in use. Access is restricted to authorized personnel.

Retention and disposal: Records are retained until payment is made and account is audited. They are then disposed of in accordance with the DOE records control schedule.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Controller
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:

The managers and directors of field locations 1-7 and 9-35 of Appendix A are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A; in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Subject individual, contracting officer and, as appropriate, accounting records.

Systems exempted from certain provisions of the act: None.

DOE-19

System name: Accounts Receivable Financial System.

Security classification: Unclassified.

System location: The locations listed as items 1-35 in Appendix A.

Categories of individuals covered by the system: Persons owing money to DOE.

Categories of records in the system: Name and address, services rendered, amount receivable, billing date, and invoice number, if any.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; 31 U.S.C. 66a; 5 U.S.C. 5701-09; Federal Property Management Regulations 101-7; Treasury Fiscal Requirements Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Billing debtors and reporting to the Office of Personnel Management.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, magnetic tape, microfilm, and microfiche.

Retrievability: By name or invoice number.

Safeguards: Access to records is by authorized personnel only.

Retention and disposal: Records are retained until payment is received and account is audited, then disposed of in accordance with records control schedule.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Chief, Financial Operations
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:

The managers and directors of field locations 1-7 and 9-35 in Appendix A are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address listed from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such records may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address listed from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such records may be located, date of birth, and time period.

Contesting record procedures:

a. Requests from an individual to correct the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address listed from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such records may be located, date of birth, and time period.

Record source categories: The individual who is the subject of the record, contracting officer, accounting records.

Systems exempted from certain provisions of the act: None.

DOE-20

System name: Imprest Fund Cashiers.

Security classification: Unclassified.

System location: The location listed as item 33 in Appendix A, and the following additional locations:

Arkansas Area Office
Southwestern Power Administration
305 North Floyd Street
Jonesboro, Arkansas 72402

Line Maintenance Crew
Southwestern Power Administration
907North Mississippi
Ada, Oklahoma 74820

Missouri Area Office
Southwestern Power Administration
Golden Avenue and Battlefield Road
Springfield, Missouri 65804

Oklahoma Area Office
Southwestern Power Administration
1409 West Chawnee Street
Muskogee, Oklahoma 74401

Categories of individuals covered by the system: Employees of the Southwestern Power Administration who are imprest fund cashiers.

Categories of records in the system: Name, date of appointment, authorized amount of funds, and reports of unannounced administrative reviews.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For control of funds handling appointments.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records (letter memoranda or forms).

Retrievability: By name and by office location.

Safeguards: Records are maintained in a locked building.

Retention and disposal: Records are destroyed after six years.

System manager(s) and address: Field Offices:

Chief
Division of Administrative Management
Southwestern Power Administration
U.S. Department of Energy
333 West Fourth Street
Tulsa, Oklahoma 74103

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 33 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 33 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 33 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth and time period.

Record source categories: Subject individual supervisors, and employees appointed to conduct administrative reviews.

Systems exempted from certain provisions of the act: None.

DOE-21

System name: Emergency Defense Mobilization Files.

Security classification: Unclassified.

System location:

Office of Fuels Regulation
Economic Regulatory Administration
2000 M Street, NW.
Washington, D.C. 20461

Office of Utility Systems
Economic Regulatory Administration
2000 M Street, NW.
Washington, D.C. 20461

Categories of individuals covered by the system: Members of the National Defense Executive Reserve and other individuals assigned responsibilities in the event of a national defense emergency.

Categories of records in the system: Biographical and related records.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Defense Production Act of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: DOE officials and officials of other departments and agencies—use of records to administer the National Defense Executive Reserve Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are maintained in lockable drawers or file cabinets in secured rooms with access limited to those whose official duties require access.

Retention and disposal: Records are retained for two years following the resignation or death of the subject individual.

System manager(s) and address:

Assistant Administrator for Fuels Regulation (or his designee)
Economic Regulatory Administration
U.S. Department of Energy
2000 M Street, NW.
Washington, D.C. 20461

Assistant Administrator for Utility Systems (or his designee)
U.S. Department of Energy
1111 20th Street, NW.
Washington, D.C. 20461

Notification procedure: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: The subject individual.

Systems exempted from certain provisions of the act: None.

DOE-22

System name: Plant Services History.

Security classification: Unclassified.

System location: The location listed as item 4 in Appendix A.

Categories of individuals covered by the system: Individuals who have been or are employed by the Branch of Plant Services.

Categories of records in the system: Records concerning labor performed by the above-defined individuals, including type of work, rate, pay, travel and per diem status, and for whom these services were performed.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to provide a detailed record of costs incurred for labor against any plant services requested on a monthly basis, (b) to provide backup for charges for work performed for other Federal agencies under the cross-servicing agreements authorized by GSA Bulletin FPMR 100.G-23, and (c) to provide backup for charges against contractors and other vendors for corrective work performed by the Branch of Plant Services.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: By name, position number, and time period involved.

Safeguards: Records are maintained in a locked building.

Retention and disposal: Tapes are erased after 10 years.

System manager(s) and address: Field Offices:

Chief, Branch of Plant Services
Bonneville Power Administration
U.S. Department of Energy
P.O. Box 3621
Portland, Oregon 97208

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 4 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 4 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in item 4 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Daily time reports and leave applications completed and signed by subject individuals.

Systems exempted from certain provisions of the act: None.

DOE-23

System name: Property Accountability System.

Security classification: Unclassified.

System location: The locations listed as items 1, 4, 31, and 33 in Appendix A and the following additional location:

Branch of Plant Services
EJ, Bonneville Power Administration
5400 NE. Highway 99
P.O. Box 491
Vancouver, Washington 98660

Categories of individuals covered by the system: DOE employees authorized to be custodians of controlled DOE equipment.

Categories of records in the system: Contains records concerning the types, quantity, make and models, and value of equipment assigned to individuals and crews. Also, the employees assigned equipment, their account numbers, organization, and location.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Federal Property and Administrative Services Act of 1949, Section 202(b), 40 U.S.C. 483(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The primary uses of the records are (a) to provide inventories to satisfy other FPMR requirements; (b) to maintain a record of location of emergency equipment; (c) to control equipment assignments authorized under union contracts; (d) to provide management information necessary for the budgeting and allocation of equipment funds; and (e) to provide evidence of assignment, location, and value in the event that Government property is stolen.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic disks, paper records.

Retrievability: By name, position number, and/or employee identification number.

Safeguards: Access is restricted to authorized personnel.

Retention and disposal: Tapes are erased after ten years. Paper records are held no longer than six years after final payment.

System manager(s) and address: The managers or directors of field locations 1, 4, 31, and 33 and of the Bonneville office listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1, 4, 31, and 33 in Appendix A and the Bonneville office listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1, 4, 31, and 33 and Appendix A and the Bonneville office listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1, 4, 31, and 33 in Appendix A and the Bonneville office listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: DOE employees who have authority to have tools and work equipment and their supervisors.

Systems exempted from certain provisions of the act: None.

DOE-24

System name:

Security classification: Land Records.

System location: The following subunits of the Bonneville Power Administration:

Branch of Land
1002 Holladay Street, NE.
P.O. Box 3621
Portland, Oregon 97208

Portland Area Office
Lloyd Plaza Building
P.O. Box 3621
Portland, Oregon 97208

Ross Complex 5400 Highway 99, NE.
P.O. Box 491, NE.

Vancouver, Washington 98660

Spokane Area Office
U.S. Court House
West 920 Riverside
Room 561
Spokane, Washington 99201

Walla Walla Area Office
West 101 Poplar
P.O. Box 1518
Walla Walla, Washington 99362.

Categories of individuals covered by the system: Individuals and/or companies from whom or to whom BPA has acquired or given interests in land.

Categories of records in the system: The Records contain the individual's name, description of land tract, type of agreement, rights granted or received, and history of the transaction.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To answser questions regarding land rights which BPA has granted to individuals or land rights individuals have granted to BPA; and as a data source used to update maps.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on computer punched cards and magnetic tapes; maintained manually in file folders and card files; the land tract register is stored in a safe; computer (punched cards) are stored in a cabinet.

Retrievability: By line identification, tract number, and contract number; cross referenced by name of landowner, grantee, or grantor.

Safeguards: Access to the records is limited to authorized persons. During nonworking hours, access to the records is restricted by their storage in locked metal file cabinets or a locked room.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Bonneville Power Administration, 1002 Holladay Street, NE., P.O. Box 3621, Portland, Oregon 97208, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Bonneville Power Administration, 1002 Holladay Street, NE., P.O. Box 3621, Portland, Oregon 97208, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Bonneville Power Administration, 1002 Holladay Street, NE., P.O., Box 3621, Portland, Oregon 97208, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Information in this system comes from individual landowners, grantees, or grantors; BPA officials; and State and local authorities.

Systems exempted from certain provisions of the act: None.

DOE-25

System name: Employee Parking Records (this system concerns parking managed and controlled by DOE under the general direction of the General Services Administration).

Security classification: Unclassified.

System location: The locations listed in Appendix A and the following additional locations:

1. Strategic Petroleum Reserve Project Management Office
900 Commerce Road East
New Orleans, Louisiana 70123

2. Naval Petroleum Reserves
Box 11
Tupman, California 93276

3. Naval Petroleum Reserves
400 East 1st Street, Suite 311
Casper, Wyoming 82611

4. Carbondale Mining Resource Center
P.O. Box 2587
Carbondale, Illinois 62901

5. Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

6. Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

7. Clinch River Breeder Reactor Project Office
P.O. Box V, Jefferson Circle
Oak Ridge, Tennessee 37830

Categories of individuals covered by the system: All DOE employees who apply as members of a carpool for DOE parking spaces managed and controlled by DOE under the general direction of the General Services Administration. Also, employees of DOE, of DOE contractors, and of nearby employers at the locations listed in Appendix A and the additional locations listed under "System Locations."

Categories of records in the system: Name; Federal service computation date; payroll or other assigned number; office address and telephone; home address and telephone; make, year, State of registration, and tag number of pool vehicles; and number of days per week in the carpool; and other carpooling information.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Federal Management Circular 1-74.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Dissemination to individuals seeking to join a carpool which operates from their residence area.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records and magnetic tape.

Retrievability: By name, location of parking assignment, home address, payroll or other assigned number, and license number.

Safeguards: Paper records are maintained in a lockable metal file cabinet. Magnetic tapes are stored in a restricted area. Access is limited to DOE and contractor personnel who need the information to perform their official duties.

Retention and disposal: Parking records are retained until new parking assignments are made (approximately six months). Carpool records are retained for two years.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director
Office of Administrative Services
U.S. Department of Energy
Washington, D.C. 20585

Field Offices: The managers and directors of field locations listed in Appendix A and additional locations listed under "System Locations."

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address listed in Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address listed in Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address among items 4, 8, 26, and 33 of Appendix A in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual.

Systems exempted from certain provisions of the act: None.

DOE-26

System name: Domestic Travel Records.

Security classification: Unclassified.

System location: The locations listed as items 1 through 35 in Appendix A and the following additional locations:

Clinch River Breeder Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: DOE employees who have traveled on official business or changed official duty stations, and other individuals authorized to travel at Government expense for DOE. Also official guests of DOE.

Categories of records in the system: Name address, social security number, destination, itinerary, mode and purpose of travel, date of travel, expenses (including amount advanced, if any), amounts claimed, and amounts reimbursed. Travel orders, travel vouchers, receipts, and passport record card.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; 5 U.S.C. 5701-5709; Federal Property Management Regulations 101-7; Federal Travel Regulations; Budget and Accounting Act of 1921; Accounting and Auditing Act of 1950; Federal Claims Collection Act of 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Transmittal to the U.S. Treasury for payment of claim, to General Accounting Office for audit and verification of accuracy and legality of disbursements, to IRS to inform regarding taxable travel reimbursements.

Additional routine uses are listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, punched cards, magnetic tape and disk, microfiche, and computer printouts.

Retrievability: By name, social security number, travel order number, and chronologically.

Safeguards: Access to magnetic tapes and disk files is controlled through established DOE computer center procedures (personnel screening and physical security). Records are maintained in locked cabinets and desks with access on a need-to-know basis.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Controller
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:
The managers and directors of field locations 1 through 7 and 9 through 35 in Appendix A, and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors, and Schenectady Naval Reactors Offices listed above under system location are System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 25 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) of 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, and location of employment and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, and location of employment, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6, and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, and location of employment, and time period.

Record source categories: Subject individuals, supervisors, and finance (or accounting) office standard references.

Systems exempted from certain provisions of the act: None.

DOE-27

System name: Foreign Travel Records.

Security classification: Classified and unclassified.

System location: The locations listed as items 1 through 35 in Appendix A and the following additional locations:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: DOE employees and contractor employees authorized to travel to foreign countries.

Categories of records in the system: Security evaluation of individual's access to classified information and background data relating to proposed foreign travel; travel itinerary and summary report following completion of travel.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; 5 U.S.C. 5701-5709; Federal Property Management Regulations 101-7; Federal Trade Regulations; Budget and Accounting Act of 1921; Accounting and Auditing Act of 1950; Federal Claims Collection Act of 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Transmittal to U.S. Treasury for payment of claims, to General Accounting Office for audit and verification of accuracy and legality of disbursements, to IRS to inform regarding taxable reimbursements, to State Department for passports, and to law enforcement and intelligence agencies for post-travel discussions.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer printouts, punched cards, magnetic tape, disk, paper, microfiche.

Retrievability: By name.

Safeguards: Access is limited to employees with a need to know. Records are maintained in guarded buildings.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:
The managers and directors of field locations 1 through 7 and 9 through 35 of Appendix A and the Pittsburgh and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, employment location, and dates of travel.

Record access procedures:

a. Requests by an individual for access to a system of recods that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schnectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, employment location, and dates of travel.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among itesm 1 through 35 of Appendix A, and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR, Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, employment location and dates of travel.

Record source categories: Subject individuals and supervisors.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4), (G), (H), (I), and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (1), (2) and (5).

DOE-28

System name: General Training Records.

Security classification: Unclassified.

System location: The locations listed as items 1-35 in Appendix A.

Categories of individuals covered by the system: All individuals who have requested and participated in training programs administered by DOE, other agencies, or other organizations.

Categories of records in the system: Name, grade, organization, date of birth, social security number; home address and telephone number and special interest area; education completed, course name, justification for attending the course, direct and indirect costs or training, coded information dealing with purpose, type, source; OF 170; course evaluation form, accounting records and central personnel data file quarterly training report.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Government Employees Training Act of 1958; Federal Personnel Manual Bulletin 290-15; Federal Personnel Manual, Chapter 410 and Appendix A thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in these records is transmitted to intra- and interagency program offices for purposes of determining eligibility for training; to Federal agencies, including the Office of Personnel Management, as source documents for training reports; to training institutions that personnel have requested to attend; and to other Federal agencies as the information documents for payment of funds for training.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name and social security number.

Safeguards: Records are maintained in secured file cabinets with access limited to those whose official duties require access.

Retention and disposal: Training requests and authorizations are retained for three years and then destroyed. Other training records are incorporated in the individual's personnel folder.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Training and Development
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:
The managers, directors, or administrators of field locations 1-7 and 9-35 of Appendix A are System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Action regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individuals and the individual's supervisors.

Systems exempted from certain provisions of the act: None.

DOE-29

System name: Technology Training Program—Skill Training at Technician Level.

Security classification: Unclassified.

System location: The locations listed as items 8, 9, and 26 in Appendix A and the following additional location:

Oak Ridge Associated Universities
Oak Ridge Operations Office
P.O. Box 117
Oak Ridge, Tennessee 37830

Categories of individuals covered by the system: Technicians in skill-level training for industrial employers within the energy industry, e.g., construction, electro/mechanical drafting, inhalation toxicologists, radiation monitoring, welding inspection, vacuum technology, and laser and optics technology.

Categories of records in the system: Applications for training assignment, work histories, education, training evaluations.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer printouts, punched cards, magnetic tapes, disks, paper, microfiche.

Retrievability: By name.

Safeguards: Records are maintained in a guarded building.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Recordr Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (Location 8 in Appendix A):

Director
Office of Contractor Industrial Relations
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:
The managers and directors of field locations 9, 14, and 26 of Appendix A are the Systems Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to detemine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 8, 9, 14, and 26 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 8, 9, 14, and 26 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 8, 9, 14, and 26 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Subject individual and contractor by whom the individual is employed.

Systems exempted from certain provisions of the act: None.

DOE-30

System name: Nuclear Qualification Examination Records (for personnel to be assigned to ships, shipyards, prototypes and Shippingport atomic power station).

Security classification: Unclassified.

System location:

Headquarters
U.S. Department of Energy
Washington, D.C. 20585

Categories of individuals covered by the system: Candidates for the following positions: United States naval nuclear ship commanding officers, engineer officers, naval nuclear prototype plant managers, naval reactors representatives, shipyard and prototype shift test engineers, and Shippingport atomic power station operations supervisors and nuclear control operators.

Categories of records in the system: Completed examinations and associated records necessary to locate the exams.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Department of Defense—performance of regular duties.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name and examination serial number.

Safeguards: Access is controlled by the cognizant engineer.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters:

Director
Division of Naval Reactors
U.S. Department of Energy
Washington, D.C. 20545

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Name, position for which examination taken, and the approximate date of the exam.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Name, position for which examination taken, and the approximate date of the exam.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Name, position for which examination taken, and the approximate date of the exam.

Record source categories: The subject individuals.

Systems exempted from certain provisions of the act: None.

DOE-31

System name: Firearms Qualification Records.

Security classification: Unclassified.

System location: The locations listed as items 2, 6, 8, 9, 12, 14, 29, and 31 in Appendix A and the following additional locations:

Amarillo Area Office
Pantex Plant
P.O. Box 1086
Amarillo, Texas 79105

Dayton Area Office
Mound Laboratory
Box 66
Miamisburg, Ohio 45342

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Kansas City Area Office
P.O. Box 202
2000 E. Bannister Road
Kansas City, Missouri 64141

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Pinellas Area Office
GE Pinellas Peninsula
P.O. Box 11500
St. Petersburg, Florida 33733

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Rocky Flats Area Office
P.O. Box 928
Golden, Colorado 80401

Sandia Area Office
Technical Area I
Kirtland Air Force Base-East
Albuquerque, New Mexico 87115

San Francisco Livermore Site Office
Trailer 125
Room 106
Livermore, California 94550

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Department of Energy employees and contractor employees who familiarize themselves or qualify with firearms in the performance of their regular duties.

Categories of records in the system: Records of an individual's annual qualification scores; approvals of gun permits; records concerning accountability of firearms.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Wackenhut Services Inc. (Nevada) Training and Administrative Personnel—performance of regular duties.

Los Alamos County Sheriff—deputation of individuals.

Los Alamos County Clerk—recording of Deputy Commission.

Los Alamos District Court Clerk—recording of Deputy Commission.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Access is limited to employees having a need to know. Records are stored in security areas under guard and/or alarm protection.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:

The managers and directors of field locations 2, 6, 9, 12, 14, 29 and 31 of Appendix A and the Pittsburgh and Schenectady Naval Reactors Offices listed under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 6, 8, 9, 12, 14, 29, and 31 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 6, 8, 9, 12, 14, 29, and 31 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 6, 8, 9, 12, 14, 29, and 31 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Gun permit notifications and firearm qualifications results from individuals and training personnel.

Systems exempted from certain provisions of the act: None.

DOE-32

System name: Government Motor Vehicle Operator Records.

Security classification: Unclassified.

System location:

The locations listed as items 1 through 35 in Appendix A and the following additional locations:

Bonneville Power Administration
Portland Area Office
919 Northeast 19th Avenue
P.O. Box 3621
Portland, Oregon 97208

Bonneville Power Administration
Seattle Area Office
415 First Avenue North
Room 250
Seattle, Washington 98109

Bonneville Power Administration
Spokane Area Office
Room 561
United States Court House
West 920 Riverside Avenue
Spokane, Washington 99201

Bonneville Power Administration
Ross Complex
5400 Northeast Highway 99
P.O. Box 491
Vancouver, Washington 98660

Bonneville Power Administration
Walla Walla Area Office
West 101 Poplar
P.O. Box 1518
Walla Walla, Washington 99362

Carbondale Mining Research Center
P.O. Box 2587
Carbondale, Illinois 62901

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Naval Petroleum Reserve
P.O. Box 11
Tupman, California 93276

New Brunswick Laboratory
P.O. Box 150
New Brunswick, New Jersey 08930

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Rocky Flats Area Office
P.O. Box 928
Golden, Colorado 80401

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Solar Energy Research Institute
1536 Cole Boulevard
Golden, Colorado 80401

Strategic Petroleum Reserve
900 Commerce Road, East
New Orleans, Louisiana 70123

Categories of individuals covered by the system: Each DOE employee and contractor employee whose job duties require frequent or occasional use of Government-owned or leased vehicles and who apply for Motor Vehicle Operator Identification Cards (Standard Form 46). Also, some U.S. Geological Survey personnel, U.S. Forest Service personnel, and Nuclear Regulatory Commission personnel.

Categories of records in the system: Name, job title, office, physical description, birthplace, social security number, type and serial number of State driver's license, record of traffic arrests and/or accidents over the past five years, and signature. A second form (SF-47) contains the employee's full name, date of birth, job title, home address, and general health history.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; 40 U.S.C. 491(j); Federal Property Management Regulations concerning use of Government-owned and leased vehicles.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To determine eligibility for operation of Government motor vehicles.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, microfiche, computer printouts, punched cards, magnetic tape, disk.

Retrievability: By name, chronologically by expiration date and date of any incidents, and numerically by badge number.

Safeguards: Maintained in buildings with controlled access, combination file safe, and key lock file.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director of Administrative Services
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:

The managers and directors of field locations 1 through 7 and 9 through 35 of Appendix A and/or the Carbondale Mining Research Center, Naval Petroleum Reserve, Pittsburgh Naval Reactors, Schenectady Naval Reactors, Solar Energy Research Institute, and Strategic Petroleum Reserve Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those indicated above under System Manager, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, location(s) of DOE installation, where Government driver's license was issued, and time period.

Record access procedures:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those indicated above under System Manager, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, location(s) of DOE installation, where Government driver's license was issued, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those listed above under System Manager, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, location(s) of DOE installation, where Government driver's license was issued, and time period.

Record source categories: Individual applications, accident reports, examinations (for qualifications) by medical personnel, National Driver Register, reports by citizens on alleged misuse of Federal vehicles, and State or local police.

Systems exempted from certain provisions of the act: None.

DOE-33

System name: Personnel Medical Records.

Security classification: Unclassified.

System location: The locations listed as items 1 through 35 in Appendix A and the following additional locations:

Bendix Corporation
P.O Box 1159
Kansas City, Missouri 64141

Bettis Atomic Power Laboratory
P.O. Box 79
West Mifflin, Pennsylvania 15122

Brookhaven National Laboratory
Industrial Medicine Division
Upton, New York 11973

Carbondale Mining Research Center
P.O. Box 2587
Carbondale, Illinois 62901

Clinch River Breeder
Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Dayton Area Office
Mound Laboratory
Box 66
Miamisburg, Ohiom 45342

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Kansas City Area Office
2006 East Bannister
Box 202
Kansas City, Missouri 64141

Knolls Atomic Power Laboratory
P.O. Box 1072
Schenectady, New York 12301

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Naval Petroleum Reserve
P.O. Box 11
Tupman, California 93276

Naval Reactors Facility
P.O. Box 2068
Idaho Falls, Idaho 83411

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Solar Energy Research Institute
1536 Cole Boulevard
Golden, Colorado 80401

Strategic Petroleum Reserve
900 Commerce Road, East
New Orleans, Louisiana 70123

Categories of individuals covered by the system: Present and former DOE employees and DOE contractor employees. This system includes individuals admitted to or treated at Kadlec Hospital, Richland, prior to September 9, 1956.

Categories of records in the system: Medical histories on employees resulting from medical examinations and radiation exposure. In cases of injury, description of injury occurrence and treatment. In addition, medical records of periodic physical examinations and pyschoiogical testing, blood donor program records, audiometric testing, routine first aid, and other visits. Also, hospital in-patient records and emergency room out-patient records for private patients at Kadlec Hospital.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; 5 U.S.C. 7901; OMB Circular A-72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Physicians, U.S. Department of Labor, various State departments of labor and industries, and contractors—use information (a) to ascertain suitability of an employee for job assignments with regard to health, (b) to provide benefits under Federal programs or contracts, and (c) to maintain a record of occupational injuries or illnesses in the performance of regular diagnostic and treatment services to patients.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer printouts, magnetic tape, paper, microfilm.

Retrievability: By name, social security number, plant area.

Safeguards: Active records are maintained in locked file cabinets in locked buildings. Inactive records are maintained in locked storage vaults.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Division of Operational and Environmental Safety
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:

The managers and directors of field locations 1 through 7 and 9 through 35 are designated the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Applicable location or locations where individual is or was employed, full name of requester, social security number, employer(s), and time period.

Record access procedures:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Applicable location or locations where individual is or was employed, full name of requester, social security number, employer(s), and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Applicable location or locations where individual is or was employed, full name of requester, social security number, employer(s), and time period.

Record source categories: The individual who is the subject of the record, physicians, medical institutions, Office of Workers Compensation Programs, military retired pay systems records, Federal civilian retirement systems, pay and leave records, Office of Personnel Management retirement life insurance and health benefits records system, and the Office of Personnel Management personnel management records system.

Systems exempted from certain provisions of the act: None.

DOE-34

System name: Employee Assistance Program (Alcohol and Drug Abuse Program).

Security classification: Unclassified.

System location: The locations listed as items 1-35 in Appendix A.

Categories of individuals covered by the system: Employees receiving counseling and referral services to resolve alcohol and/or drug abuse problems.

Categories of records in the system: Name, address, job title, grade level, date of employment, work history, community social service agency referrals, medical reports.

Authority for maintenance of the system: Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970; Federal Personnel Manual Letter No. 792-4; 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are located in lockable metal file cabinets with access limited to those whose official duties require access.

Retention and disposal: Records are retained in accordance with applicable DOE record disposition schedules.

System manager(s) and address: Headquarters (location 8 Appendix A):

Director
Office of Equal Opportunity
U.S. Department Of Energy
Washington, D.C. 20585

Field Offices:

The managers and directors of field locations 1 through 7 and 9 through 35 of Appendix A are the System Managers for their respective portions of the system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may by located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual and the individual's supervisors.

Systems exempted from certain provisions of the act: None.

DOE-35

System name: Personnel Radiation Exposure Records.

Security classification: Unclassified.

System location: The locations listed as items 2, 3, 6-12, 14, 15, 26, 28, and 29 in Appendix A and the following additional locations:

Amarillo Area Office
Pantex Plant
P.O. Box 1086
Amarillo, Texas 79105

Batavia Area Office
P.O. Box 2000
Batavia, Ilinois 60510

Brookhaven Area Office
Upton, New York 11973

Brookhaven National Laboratory
Health Physics and Safety Division
Building 535
20 North Technology Street
Upton, New York 11973

Dayton Area Office
P.O. Box 66
Miamisburg, Ohio 45342

Division of Naval Reactors
2521 Jefferson Davis Highway
Arlington, Virginia 22202

Environmental Measurements Laboratory
376 Hudson Street
New York, New York 10014
Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Hanford Environmental Health Foundation
Kadlec Medical-Dental Building
Richland, Washington 99352

Idaho Branch Office
P.O. Box 2469
Idaho Falls, Idaho 83401

Idaho Health Services Laboratory, CF-690
INEL and Computer Science Center
Idaho Falls, Idaho 83401

Kansas City Area Office
P.O. Box 202
Kansas City, Missouri 64141

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Naval Reactors Representative Office
Building 195
Charleston Naval Shipyard
Charleston, South Carolina 29408

Naval Reactors Representative Office
P.O. Box 21
Groton, Connecticut 06340

Naval Reactor Representative Office
Mare Island Naval Shipyard
P.O. Box 2053
Mare Island, California 94592

Naval Reactors Representative Office
Newport News Shipbuilding & Dry Dock Company
P.O. Box 973
Newport News, Virginia 23607

Naval Reactors Representative Office
Norfolk Naval Shipyard
P.O. Box 848
Portsmouth, Virginia 23705

Naval Reactors Representative Office
P.O. Box 1687
Pascagoula, Mississippi 39567

Naval Reactors Representative Office
Pearl Harbor Naval Shipyard
P.O. Box 128
FPO San Francisco 96610

Naval Reactors Representative Office
Portsmouth Naval Shipyard
Building 178
P.O. Box 2008
Portsmouth, New Hampshire 03801

Naval Reactors Representative Office
Puget Sound Naval Shipyard
P.O. Box 1A
Bremerton, Washington 98314

New Brunswick Laboratory
P.O. Box 150
New Brunswick, New Jersey 08903

Pinellas Area Office
P.O. Box 11500
St. Petersburg, Florida 33733

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Puerto Rico Office
P.O. Box BB
San Juan, Puerto Rico 00935

Rocky Flats Area Office
P.O. Box 928
Golden, Colorado 80401

Sandia Area Office
P.O. Box 5800
Albuquerque, New Mexico 87115

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Shippingport Branch Office
P.O. Box 11
Shippingport, Pennsylvania 15077

West Milton Field Office
P.O. Box 1069
Schenectady, New York 12301

Windsor Field Office
P.O. Box 393
Windsor, Connecticut 06095

Categories of individuals covered by the system: DOE personnel, contractor personnel, and any other persons having access to certain DOE facilities.

Categories of records in the system: DOE and contractor personnel and other individuals' radiation exposure records, and other records in connection with the transuranic registry.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: U.S. Navy uses these records to monitor radiation exposure of Naval and other personnel at Navy activities.

NRC uses these records to monitor radiation exposure of contractor personnel. DOE and its contractors and consultants, other contractors, and organizations, including various States' departments of labor and industry groups, use these records to monitor radiation exposure of personnel.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

READEX FICHE best copy available

Storage: Computer printouts, paper records, index cards, magnetic tape, punched cards, microfilm and disc.

Retrievability: By name, alphanumeric code, and social security number.

Safeguards: Records are maintained in locked file cabinets, locked safes, guarded areas, and secured buildings, with access on a need-to-know basis.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Division of Operational and Environmental Safety
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:
The managers and directors of field locations 2, 3, 6, 7, 9, 10, 11, 12, 14, 15, 26, 28, and 29 in Appendix A and of the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 3, 6-12, 14, 15, 26, 28 and 29 of Appendix A, and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 3, 6-12, 14, 15, 26, 28, and 29 of Appendix A, and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items, 2, 3, 6-12, 14, 15, 26, 28, and 29 of Appendix A, and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual, accident/incident investigations, film badges, dosimetry records, and previous employee records.

Systems exempted from certain provisions of the act: None.

DOE-36

System name: Statistical Analysis Using Personnel Security Questionnair (Health and Mortality Study).

Security classification: Unclassified.

System location:

Nevada Operations Office
P.O. Box 14100
Las Vegas, Nevada 89114

Oak Ridge Operations Office
P.O. Box E
Oak Ridge, Tennessee 37830

Categories of individuals covered by the system: Department of Energy and predecessor agency employees, consultants and contractor employees, and consultants who were granted access authorizations (clearances).

Categories of records in the system: Records of employees of the Manhattan Engineering District Project, Atomic Energy Commission, Energy Research and Development Administration, and DOE, including copies of Personnel Security Questionnaires completed after termination of employment.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Statistical analyses using Personnel Security Questionnaires.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name and social security number.

Safeguards: Records are maintained in guarded security areas in locked file cabinets. Access is limited to individuals having a need to know.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Field Offices:
The managers and directors of field locations 12 and 14 in Appendix A are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 12 and 14 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Name, social security number, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 12 and 14 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Name, social security number, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 12 and 14 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Name, social security number, and time period.

Record source categories: Clearance histories of Manhattan Engineering District, Atomic Energy Commission, Energy Research and Development Administration, and DOE employees; access permittees' security clearance; and reports from investigative agencies.

Systems exempted from certain provisions of the act: None.

DOE-37

System name: Equal Opportunity Complaint Files.

Security classification: Unclassified.

System location: The locations listed as items 1 through 35 in Appendix A and the following additional locations:

Clinch River Breeder Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Each DOE employee, or applicant for employment, DOE contractor employees, or Assigned Facilities contractor employee who, in accordance with the provisions of Federal Personnel Manual No. 713, has filed a written complaint of discrimination based on race, religion, national origin, or sex with DOE or with another Federal agency which has referred the complaint to DOE.

Categories of records in the system: Name, address, job title, wage rate, earnings, dates of employment, data on applications for employment, race, sex, work history, the complaint, investigation reports (with affidavits), Equal Opportunity (EO) Officer disposition with respect to complaint, and agency head decision regarding complaint.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Equal Employment Opportunity Act of 1972; Federal Personnel Manual No. 713.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name of complainant.

Safeguards: Records are located in a combination safe with access limited to those whose official duties require access.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Equal Opportunity
U.S. Department of Energy
Washington, D.C. 20585

The managers and directors of field locations 1-7 and 9-35 of Appendix A and of the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1-35 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) of 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1-35 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1-35 of Appendix A and the Clinch River Breeder Reactor Plant Project, Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6, 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name and time period.

Record access procedures: The subject individual, coworkers, other employees, and contractor employees.

Systems exempted from certain provisions of the act: None.

DOE-38

System name: Occupational and Industrial Accident Records.

Security classification: Unclassified.

System location: The locations listed as items 1-35 in Appendix A and the following additional locations:

Amarillo Area Office
Pantex Plant
P.O. Box 1086
Amarillo, Texas 79105

Brookhaven Area Office
Upton, New York 11973

Carbondale Mining Research Center
P.O. Box 2587
Carbondale, Illinois 62901

Clinch River Breeder Reactor Plant Project
P.O. Box U
Oak Ridge, Tennessee 37830

Dayton Area Office
P.O Box 66
Miamisburg, Ohio 45342

Environmental Measurements Laboratory
376 Hudson Street
New York, New York 10014

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Idaho Branch Office
P.O. Box 2469
Idaho Falls, Idaho 83401

Kansas City Area Office
P.O. Box 202
Kansas City, Missouri 64141

Los Alamos Area Office
P.O. Box 5800
Los Alamos, New Mexico 87544

Naval Petroleum Reserve
P.O. Box 11
Tupman, California 93276

Nevada Test Site
Mercury, Nevada 89023

New Brunswick Laboratory
P.O. Box 150
New Brunswick, New Jersey 08903

Pinellas Area Office
P.O. Box 11500
St. Petersburg, Florida 33733

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Puerto Rico Area Office
P.O. Box BB
San Juan, Puerto Rico 00935

Rocky Flats Area Office
P.O. Box 928
Goldern, Colorado 80401

Sandia Area Office
P.O. Box 5800
Albuquerque, New Mexico 87115

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Shippingport Branch Office
P.O. Box 11
Shippingport, Pennsylvania 15077

Solar Energy Research Institute
1536 Cole Boulevard
Golden, Colorado 80401

Strategic Petroleum Reserve
900 Commerce Road, East
New Orleans, Louisiana 70123
West Milton Field Office
P.O. Box 1069
Schenectady, New York 12301

Windsor Field Office
P.O. Box 393
Windsor, Connecticut 06095

Categories of individuals covered by the system: DOE employees, contractor employees, and any other persons having access to DOE facilities. Also individuals involved in accidents with employees or contractor employees or other persons having access to DOE facilities.

Categories of records in the system: Accident/incident information, occupational injury and illness experience, property damage experience, motor vehicle accidents.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Federal Tort Claims Act, 28 U.S.C. 2671-2680; Military Personnel and Civilian Employees Claims Act, 31 U.S.C. 240-243.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Physicians: For purpose of treating patients.

Property owners and insurance companies: For purpose of processing insurance claims.

DOE Contractors and consultants, State departments of labor and industries and other State agencies, U.S. Department of Labor, National Drivers Registry, and Department of Transportation: For purposes of processing insurance claims and accident reporting.

Pertinent provisions of 29 CFR 1904.7 apply to the records maintained in this system of records.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, punched cards, paper records, microfilm.

Retrievability: By name and by alphabetic, numeric, or alphanumeric code.

Safeguards: Records are maintained in locked file cabinets, locked safes, guarded areas, and secured buildings with access limited to personnel with a need to know.

Retention and disposal: Records retention and disposal authorities are contained in DOE 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director
Division of Operational and Environmental Safety
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:
The managers and directors of field locations 1-7, 9-35 and the Carbondale Mining Research Center, Naval Petroleum Reserve, Pittsburgh Naval Reactors, Schenectady Naval Reactors, Solar Energy Research Institute, and Strategic Petroleum Reserve Offices listed as under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those indicated above under System Manager, in accordance with DOE's Privacy Act, regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, and/or birth date, geographic location of the accident, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contain information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those indicated above under System Manager, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, and/or birth date, geographic location of the accident, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among those indicated above under System Manager, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, social security number, and/or birth date, geographic location of the accident and time period.

Record source categories: The subject individual, the individual's supervisor, medical officers or personal physicians, accident investigators, investigation boards, investigating law enforcement officers, the National Drivers Register, and previous employer records.

Systems exempted from certain provisions of the act: None.

DOE-39

System name: Labor Standards Complaints and Grievances.

Security classification: Unclassified.

System location: Locations are listed in items 2, 6, 8, 9, 14, 26, and 29 in Appendix A and the following additional locations:

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Current and former contractor employees.

Categories of records in the system: Complaints against contractors, labor unions.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: U.S. Department of Labor—contract labor standards enforcement.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name and case number.

Safeguards: Records are maintained in locked files.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director
Office of Contractor Industrial Relations
U.S. Department of Energy
Washington, D.C. 20545

Field Offices: The managers and directors of field locations 2, 6, 8, 9, 14, 26, and 28 of Appendix A, and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 6, 8, 9, 14, 26, and 28 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 6, 8, 9, 14, 26, and 28 Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (Ocotber 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 6, 8, 9, 14, 26, and 28 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Subject individuals, contractors, members of the public.

Systems exempted from certain provisions of the act: None.

DOE-40

System name: Contractor Employees Insurance Claims.

Security classification: Unclassified.

Record source categories:

Headquarters
U.S. Department of Energy
Washington, D.C. 20585

Categories of individuals covered by the system: Claimants under workmen's compensation insurance, third-party claimants against DOE contractors.

Categories of records in the system: Accident reports, physician statements, pictures, maps, sketches, claimant and witness statements, doctor and hospital bills, reports from engineers firms, claims activity reports.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Insurance companies—in administering claims against DOE Contractors and DOE.

State and local agencies—for consideration of insurance claims.
Physicians—for claim evaluations.
Lawyers—for claim evaluations.
State industrial commissions—for claim evaluations.
Claims-adjustment services firms—for claim evaluations.
The additional routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, records, and computer printouts.

Retrievability: By name and claim number.

Safeguards: Records are maintained in a locked building.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters:

Director
Office of Contractor Industrial Relations
U.S. Department of Energy
Washington, D.C. 20545

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, DC 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, DC 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, DC 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Claimants, witnesses, insurance company claim files.

Systems exempted from certain provisions of the act: None.

DOE-41

System name: Legal Files (Claims, Litigations, Criminal Violations, Putents, and Others).

Security classification: Unclassified.

System location: The locations listed in items 1-35 in Appendix A and the following additional location:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: DOE related debtors and bankrupts; claimants with respect to radiation, tort, patent, contract employee compensation and workmen's compensation matters; injured parties, litigants and complaints generally; inventors; those against whom claims have been filed; persons suspected of violating DOE regulations and criminal laws.

Categories of records in the system: Claims relating personal injury, radiation injury, property damage and other tort matters, and contract matters; litigatin records, accident reports; addendums to inspection reports; employment records; consultants agreements; cases alleging discrimination; conflict of interest files; criminal litigation records; Personal Security Review Board cases; medical records; photographs; telephone records; investigations; government orders; inventions; correspondence and other data relating to the foregoing.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Department of Justice; GAO; State and local law enforcment agencies; civil and criminal courts; administrative arbitrators; litigants; investigators; Congress; attorneys; physicians; consultants; insurance carriers—for appraisal, evaluation, settlement and denial of claims and other matters and as a basis for administrative and legal action and all matters pertaining thereto, including civil and criminal remedies.

The additional routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name and control card locator.

Safeguards: Records are maintained in vaults and locked safes (under surveillance during business hours).

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

General Counsel
U.S. Department of Energy
Washington, D.C. 20585

Field Offices: The managers and directors of field locations 1-7 and 9-35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to detemine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1-35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Subject individuals, inspection reports, other agencies, Office of General Counsel attorneys, other agency officers and staff, contractors, investigators, and auditors.

Systems exempted from certain provisions of the act: The Administrator has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), (I), and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 522a(k) (1), (2) and (5).

DOE-42

System name: Personnel Security Clearance Index.

Security classification: Both classified and unclassified material.

System location: The locations listed as items 2, 4, 6, 8, 9, 12, 14, 28, and 29 in Appendix A and the following additional locations:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Employees and applicants for employment with DOE and DOE contractors and access permittees for whom access authorizations (clearances) have been initiated, granted, and/or terminated.

Categories of records in the system: Records identifying history and status of processed access authorizations (clearances).

Category A—Personnel security index: Name, position, organization, social security number, and date and place of birth. May also contain position sensitivity description, date of appointment, date and type of clearance, basis of clearance, briefing and debriefing data, date folder was retired, and date folder was destroyed.

Category B—Automatic data processing index: Name and social security number. Contains references to organization, position sensitivity, access clearances issued, security briefing data, date of background investigation, date of security interview, and existence of personnel security folder of index card.

Category C—Identification pass index: Name, social security number, location, issue date and expiration date of passes issued to individuals who hold valid, permanent identification passes for DOE Headquarters offices, and a photograph of the individual.

Category D—DOE credential index: Name, organization, location and position of individuals who hold DOE credentials.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Executive Order 10450 and 9830; Federal Personnel Manual, Chapters 731 and 736.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In investigations concerning DOE personnel, contractors, and access permittees, with regard to loyalty, classified access, and suitability determinations.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files, data cells, magnetic tape, punched cards, and disc packs.

Retrievability: By name and access authorization (clearance) number.

Safeguards: Access is limited to employees having a need to know. Records are stored in secured building subject to guard patrols and/or alarm protection.

Retention and disposal: Records retention and disposal authorites are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Field Offices: The managers and directors of field locations 2, 4, 6, 9, 12, 14, 28, and 29 in Appendix A and of the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 4, 6, 8, 9, 12, 14, 28, and 29 in Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Office listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, social security number, and dates of employment.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy at the appropriate address from among items 2, 4, 6, 8, 9, 12, 14, 28, and 29 in Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, social security number, and dates of employment.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 4, 6, 8, 9, 12, 14, 28, and 29 in Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, social security number, and dates of employment.

Record source categories: Personnel Security Questionnaire and fingerprint card executed by the subject individual, other sources contacted during security investigation, and DOE Security Offices.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (1), (2) and (5).

DOE-43

System name: Personnel Security Clearance Files.

Security classification: Both classified and unclassified material.

System location: The locations listed as items 2, 4, 6, 8, 9, 12, 14, 26, 28, and 29 in Appendix A and the following additional locations:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Navy Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Employees and applicants for employment with DOE and DOE contractors; consultants; other individuals requiring access to classified information and facilities; access permittees who are authorized access.

Categories of records in the system: Results of investigations concerning individuals processed for access authorizations (clearances).

Personnel security folders: Name, grade, organization, date and place of birth, and social security number. Contains requests for security clearance, OPM Standard Forms 85, 86, 87 and 171, and OS Forms DPS 24 and 24A; results of national agency check and inquiries and a record of authorized individuals who have had access to the folder. May also contain action checklist, termination checkout sheet OPM Standard Forms 50, 52, or 73, as well as notification to Office of Personnel Management of agency action on case.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Executive Orders 10450 and 9830; Federal Personnel Manual, Chapters 731 and 736.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name and numeric code.

Safeguards: Access is limited to employees having a need to know. Records are stored in locked file cabinets in locked buildings.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

The managers and directors of field locations 2, 4, 6, 9, 12, 14, 26, 28, and 29 in Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 4, 6, 8, 9, 12, 14, 26, 28, and 29 in Appendix A and the Pittsburgh Naval Reactors and

Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, date of birth, social security number, clearance processing location, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 4, 6, 8, 9, 12, 14, 26, 28, and 29 in Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, date of birth, social security number, clearance processing location, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 4, 6, 8, 9, 12, 14, 26, 28, and 29 in Appendix A, and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR, Part 206 or Part 708 should apply.

b. Required identifying information: Full name, date of birth, social security number, clearance processing location, and time period.

Record source categories: Personnel Security Questionnaire and fingerprint card executed by the subject individual; background investigation reports by Federal Bureau of Investigation, Office of Personnel Management, and other Government agencies conducting background investigations; summaries and transcripts of interviews with the individual; interrogatory letters to the individual; local police department reports; and security infraction reports received from the individual's supervisor.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4), (G), (H), (I), and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k)(1), (2) and (5); or including internal memoranda specifically identified as OS Forms DPS 24 and 24A.

DOE-44

System name: Special Access Authorization for Categories of Classified Information.

Security classification: Unclassified.

System location: The locations listed in items 2, 8, 9, 10, 12, 14, 26, 28, and 29 in Appendix A and the following additional locations:

Amarillo Area Office
Pantex Plant
P.O. Box 1086
Amarillo, Texas 79105

Dayton Area Office
P.O. Box 66
Miamisburg, Ohio 45342

Kansas City Area Office
P.O. Box 202
Kansas City, Missouri 64141

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Pinellas Area Office
P.O. Box 5400
Albuquerque, New Mexico 87115

Rocky Flats Area Office
P.O. Box 298
Golden, Colorado 80401

Sandia Area Office
P.O. Box 5400
Albuquerque, New Mexico 87115

Categories of individuals covered by the system: Individuals authorized to access special categories of information and compartmentalized DOE facilities and/or areas.

Categories of records in the system: Letters and memoranda of authorization to special categories of classified information.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DOE contractors—for purposes of performing contractual functions.

NATO, National Security Agency, and CIA—for determining individuals who have access to classified information generated by these agencies.

The additional routine listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files; also magnetic tape (at Headquarters).

Retrievability: By name.

Safeguards: Access is limited to employees with a need-to-know. Records are stored in security areas under either guard or alarm protection.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters:

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:

The managers and directors of field locations in 2, 9, 10, 12, 14, 26, 28, and 29 of Appendix A are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 9, 10, 12, 14, 26, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 9, 10, 12, 14, 26, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 10, 12, 14, 26, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February

19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Individual reports from Federal investigation agencies; letters and/or plans from DOE operating offices, operating divisions and contractor facilities.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4), (G), (H), (I) and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (1), (2) and (5).

DOE-45

System name: Weapon Data Access Control System.

Security classification: Unclassified.

System location: The locations listed as items 2, 8, 12, 14, and 28 in Appendix A and the following additional locations:

Amarillo Area Office
Panter Point
P.O. Box 1086
Amarillo, Texas 79105

Kansas City Area Office
P.O. Box 202
Kansas City, Missouri 64141

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Pinellas Area Office
P.O. Box 11500
St. Petersburg, Florida 33733

Rocky Flats Area Office
P.O. Box 928
Golden, Colorado 80401

Sandia Area Office
P.O. Box 5406
Alburquerque, New Mexico

Categories of individuals covered by the system: DOE, DOD, and other Government agency employees, Government contractors and consultants requiring access to classified weapons data and/or DOE nuclear weapons program facilities.

Categories of records in the system: Name, social security number, date of birth, citizenship, employer, type of clearance, number end date of clearance, categories of information requested and authorized, locations to be visited and dates of visit, purpose of visit, point of contact, and Government agency certifying "need-to-know."

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: DOE and DOE contractors—to determine whether persons have appropriate security clearances to gain access to classified weapons data.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microfiche, paper, magnetic tapes, and computer printouts.

Retrievability: By name and by specific weapon program.

Safeguards: Records are maintained in buildings with controlled access.

Retention and disposal: Headquarters master copy is retained for three years. Field Office copies are destroyed as the system is undated every two weeks. Records within DOE are destroyed by shredding, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters:

Director
Office of Military Application
U.S. Department of Energy
Washington, D.C. 20545

Field Offices:

The managers and directors of field locations 2, 12, 14, 28, and 29 in Appendix A are the System Managers for their respective portion of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 12, 14, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items, 2, 8, 12, 14, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 12, 14, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The individuals themselves, Government agencies, and Government contractors.

Systems exempted from certain provisions of the act: None.

DOE-46

System name: Clearance Board Cases.

Security classification: Unclassified.

System location:

Headquarters Washington, D.C. 20585

Categories of individuals covered by the system: DOE employees, access permittees, consultants and prospective employees, and contractors and contractor access permittees.

Categories of records in the system: Results of investigations concerning individuals processed for access authorizations (clearances).

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organizaton Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel involved in administrative review—information used for reference during review board hearings.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: By name.

Safeguards: Access is limited to employees having a need-to-know. Records are stored in security areas under guard and/or guard protection.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records

within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth and time period.

Record source categories: Personnel Security Questionnaire and Fingerprint Card executed by individual; background investigation reports by Federal Bureau of Investigation, Office of Personnel Management and other Government agencies; summaries and transcripts of interviews with the individual; transcripts of Administrative Review Board hearings with individual; correspondence to individual concerning administrative processing of clearance action; and local and State police agency reports.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4), (G), (H), (I) and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (1), (2) and (5).

DOE-47

System name: Security Investigations.

Security classification: Unclassified.

System location: The locations listed as items 2, 8, 9, 26, 28, and 29 in Appendix A and the following additional location:

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Categories of individuals covered by the system: DOE employees, specifically including employees of the Federal Energy Regulatory Commission; Contractor employees, private citizens.

Categories of records in the system: Reports to determine cause and circumstance of accidents and/or incidents.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Executive Orders 10450 and 9830; Federal Personnel Manual, Chapters 731 and 736.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Property Owners and Insurance Companies—Insurance claims.

DOE Fire and Safety and Administrative Personnel—Evaluation of fire and safety incidents.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Access is limited to individuals having a need-to-know. Records are maintained in locked and guarded buildings.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters (location 8 in Appendix A):

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Field Offices: The managers and directors of field locations 2, 9, 26, 28, and 29 of Appendix A are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 9, 26, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, employer, dates of employment, and social security number.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 9, 26, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, employer, dates of employment, and social security number.

Contesting record procedures:

a. Requests by an individual to amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 9, 26, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Indicate full name, date of birth, employer, dates of employment, and social security number.

Record source categories: The subject individual, other sources contacted during security investigations, and official records.

Systems exempted from certain provisions of the act: Internal memoranda specifically identified as OS Forms DPS 24 and 24A are exempted from certain of the Privacy Act's requirements, in accordance with 5 U.S.C. 552a(k)(2), (5). Additionally, with regard to certain records, pursuant to 5 U.S.C. 552a(k)(5), this system is exempt from 5 U.S.C. 552a(d) and the Commission's rules issued pursuant thereto, 18 CFR 3b.221 and 3b.224, to the extent that disclosure would reveal a source who furnished information under an express promise of confidentiality, or prior to September 27, 1975, under an express or implied promise of confidentiality, because the screening of personnel to assure that only qualified and trustworthy individuals are placed in governmental positions will, at times, require information to be collected under a pledge of confidentiality.

DOE-48

System name: Security Education and/or Infraction Reports.

Security classification: Unclassified.

System location: The locations listed as items 2, 8, 9, 12, 14, 26, and 29 in Appendix A and the following additional locations:

Amarillo Area Office
Pantex Plant
P.O. Box 1086
Amarillo, Texas 79105

Dayton Area Office
P.O. Box 66
Miamisburg, Ohio 45342

Kansas City Area Office
P.O. Box 202

Kansas City, Missouri 64141

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Pinellas Area Office
P.O. Box 11500
St. Petersburg, Florida 33733

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Rocky Flats Area Office
P.O. Box 928
Golden, Colorado 80401

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: DOE and employees having access authorization (clearance) to classify information and/or materials.

Categories of records in the system: Records of security education lectures, and investigative and summary reports of security infraction incidents.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: By name.

Safeguards: Access is limited to employees with a need to know. Records are stored in security areas.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarters:

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Field Offices: The managers and directors of field locations 2, 9, 12, 14, 26, and 29 and the Pittsburgh and Schenectady Naval Reactors Offices listed under system location are the System Managers for their respective portion of this system.

Notification procedure:

a. Requests by an individual to detemine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 9, 12, 14, 26, and 29 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 9, 12, 14, 26, and 29 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE'S Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 9, 12, 14, 26, and 29 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE'S Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Training officers; security personnel; individual's supervisor; and local, State, and Federal authorities.

Systems exempted from certain provisions of the act: None.

DOE-49

System name: Security Correspondence File.

Security classification: Unclassified.

System location:

Headquarters
U.S. Department of Energy
Washington, D.C. 20585

Categories of individuals covered by the system: Individuals of interest to DOE officials.

Categories of records in the system: Correspondence received from individuals, articles from news media, and informational reports.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: By name.

Safeguards: Access is limited to individuals having a need to know. Records are stored in security area under guard protection.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic locations(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 2085, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10

CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic locations(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Notification procedure:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic locations(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Subject individual, official records, articles from news media.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4), (G), (H), (I) and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (1), (2) and (5).

DOE-50

System name: Personnel Assurance Program Records.

Security classification: Unclassified.

System location: The locations listed as items 2, 12, and 28 in Appendix A and the following additional locations:

Amarillo Area Office
Pantex Plant
P.O. Box 1086
Amarillo, Texas 79605

Sandia Area Office
P.O. Box 5800
Albuquerque, New Mexico 87115

Categories of individuals covered by the system: DOE or contractor employees performing work which afford both technical knowledge and access to assembled nuclear explosives or certain nuclear weapon components.

Categories of records in the system: Results of medical examinations, employment review, credit-consumer reports; data pertaining to access authorizations (clearances); and training records pertaining to individual's duties involving assembled nuclear explosives or certain nuclear weapon components.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: By name.

Safeguards: Access is limited to employees having a need to know. Records are stored in locked file cabinets in secured buildings.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Field Offices: The managers and directors of field locations 2, 12, and 28 of Appendix A are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 12, and 28 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 12, and 28 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may by located, dated of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 12, and 28 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Medical records, occupational training records, and personnel security records.

Systems exempted from certain provisions of the act: None.

DOE-51

System name: Employee and Visitor Access Control Records.

Security classification: Unclassified.

System location: The locations listed as items 2, 7, 8, 9, 12, 14, 26, 28, and 29 in Appendix A and the following additional locations:

Amarillo Area Office
Pantex Plant
P.O. Box 1086
Amarillo, Texas 79105

Dayton Junction Office
P.O. Box 66
Miamisburg, Ohio 45342

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Kansas City Area Office
P.O. Box 202
Kansas City, Missouri 64141

Los Alamos Area Office
528 35th Street
Los Alamos, New Mexico 87544

Pinellas Area Office
P.O. Box 11500
St. Petersburg, Florida 33733

Rocky Flats Area Office
P.O. Box 928
Golden, Colorado 80401

Sandia Area Office
P.O. Box 5400
Albuquerque, New Mexico 87115

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Individuals visiting DOE facilities, DOE employees seeking access to DOE facilities and classified records.

Categories of records in the system: Records of individual visiting DOE and employee identification files (including photographs) maintained for access purposes.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DOE contractors—to control access to classified information and areas.

Department of Defense contractors—to authorize access to classified information and areas.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files and microfiche.

Retrievability: By name.

Safeguards: Access is limited to employees with a need to know. Records are stored in guarded security areas.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Field Offices: The managers and directors of the field locations 2, 7, 9, 12, 14, 26, 28, and 29 of Appendix A and of the Schenectady Naval Reactors Office listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 7, 9, 12, 14, 26, 28, and 29 of Appendix A and the Schenectady Naval Reactor Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 7, 8, 9, 12, 14, 26, 28, and 29 of Appendix A and the Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 7, 8, 9, 12, 14, 26, 28, and 29 of Appendix A, and the Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR, Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Subject individual, Department of Defense, DOE offices and contractors, National Aeronautics and Space Administration, and other Government agencies.

Systems exempted from certain provisions of the act: None.

DOE-52

System name: Alien Visits and Participation.

Security classification: Unclassified.

System location: The locations listed as items 2, 8, 12, 14, 26, 28, and 29 in Appendix A and the following additional locations:

Dayton Area Office
P.O. Box 66
Miamisburg, Ohio 45342

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Categories of individuals covered by the system: Resident aliens who visit and participate at DOE offices and contractor facilities.

Categories of records in the system: Federal agency checks and DOE records regarding alien visits and participation at DOE offices and/or contractor facilities.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: By name and visit number.

Safeguards: Access is limited to employees with a need to know. Records are stored in security areas under guard and/or alarm protection.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Headquarders (Location 8 in Appendix A):

Director
Office of Safeguards and Security
U.S. Department of Energy
Washington, D.C. 20545

Field Offices: The managers and directors of field locations 2, 12, 14, 26, 28, and 29 of Appendix A are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 2, 8, 12, 14, 26, 28, and 29 of Appendix A in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, nationality, and date and location of visit.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 12, 14, 26, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, nationality, and date and location of visit.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 2, 8, 12, 14, 26, 28, and 29 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (Octo-

ber 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Full name, nationality, and date and location of visit.

Record source categories: Subject individual; reports from Federal investigation agencies; and letters and/or plans from DOE operating offices, operating divisions, and contractor facilities.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) of 5 U.S.C. 552a under the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (1), (2) and (5).

DOE-53

System name: Access Authorization for ADP Equipment.

Security classification: Unclassified.

System location:

Office of ADP Services
Energy Information Administration
Washington, D.C. 20461

Optimum System, Inc.
5615 Fishers Lane
Rockville, Maryland 20852

Project Research Corporation
825 North Capitol Street
Washington, D.C. 20426

Categories of individuals covered by the system: Users of the Energy Information Administration computer system, including DOE employees and contractor employees (specifically including employees and contractor employees of the Federal Energy Regulatory Commission), and other authorized users of the system.

Categories of records in the system: Name, user identification number, office address and telephone number, organizational code, computer usage figures, data accessed and other management-related information.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; OMB Circular A-71; Department of Commerce Federal Information Processing Standards Publications (FIPS PUBS) on computer security; GSA Procurement Regulations Amendment 155, adding Section 1-1.327.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are used by the Office of ADP Services to control and manage Energy Information Administration computer resources and to insure that sensitive information is properly safeguarded.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Disk, computer tape, printouts.

Retrievability: Name, user identification number, project number.

Safeguards: Records are maintained in Federal buildings with 24-hour guard service. Access is limited to authorized personnel on a need-to-know basis.

Retention and disposal: Updated on a regular basis. Older records are destroyed.

System manager(s) and address:

Director
Office of ADP Services
Energy Information Administration
U.S. Department of Energy
Washington, D.C. 20461

Notification procedure: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: Subject individual, with some information assigned by the Office of ADP Services.

Systems exempted from certain provisions of the act: None.

DOE-54

System name: Investigative Files of Inspector General.

Security classification: Generally unclassified. Classified material is sometimes maintained.

System location: The location listed as items 1 through 35 in Appendix A and the following additional locations:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schnectady Naval Reactors Office
P.O. Box 1069
Schnectady, New York 12301

Categories of individuals covered by the system: Current and former DOE and contractor employees and applicants for employment who are subjects of investigations, and individuals involved in miscellaneous investigative matters.

Categories of records in the system: Investigative reports, memoranda, and letters.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act, Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name, case number, and title of investigative report.

Safeguards: Information is kept in locked General Services Administration approved Class 6 security containers. Access is on a need to know basis.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Inspector General
U.S. Department of Energy
Washington, D.C. 20585

Field Offices:

The managers and directors of field locations 1 through 7 and 9 through 35 of Appendix A and of the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location are the System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appen-

dix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR, Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual, complaints, witnesses, respondents, confidential sources, agency files and records, and official Federal, State, or local records.

Systems exempted from certain provisions of the act: The Secretary has exempted this system from subsections (c)(3), (d), (e)(1), (3)(4)(G), (H), (I), and (f) of 5 U.S.C. 552a, the Privacy Act of 1974. This exemption applies only to information in this system of records which is exempt pursuant to 5 U.S.C. 552a(k) (1), (2) and (5).

DOE-55

System name: Freedom of Information and Privacy Acts Requests for Records.

Security classification: Unclassified.

System location: The locations listed in items 1 through 35 of Appendix A.

Categories of individuals covered by the system: Individuals requesting copies of records from DOE under the provisions of the Freedom of Information Act and under the Privacy Act of 1974.

Categories of records in the system: Name, address, and telephone number; description or identification of records requested, furnished, and/or denied; dates of request and response; amount of fees paid, if any; payment delinquencies, if any; final determinations of appeals or denials; and the names and titles of authorizing officials and officials responsible for denials.

Authority for maintenance of the system: Freedom of Information Act; Privacy Act of 1974; 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Annual report to the Congress under section (d) of the Freedom of Information Act. Additional routine uses as listed in Appendix B.

These records are available for public inspection at all times.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name of requester.

Safeguards: Records are located in lockable metal file cabinets with access limited to those whose official duties require access. However, records are at all times available for public inspection.

Retention and disposal: Records are retained in accordance with DOE's record disposal schedule.

System manager(s) and address: For each of the locations listed above:

Director
FOI and Privacy Acts Activities
U.S. Department of Energy
Washington, D.C. 20585

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual.

Systems exempted from certain provisions of the act: None.

DOE-56

System name: Congressional Constituent Inquiries.

Security classification: Unclassified.

System location: The locations listed in items 1 through 35 of Appendix A and the following additional location:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1069
Schenectady, New York 12301

Categories of individuals covered by the system: Individuals on whose behalf there have been Congressional inquiries and members of Congress making requests on behalf of their constituents.

Categories of records in the system: Name, address of constituent and date of letter by a Senator or member of Congress on behalf of the constituent; materials forwarded by a member of Congress; and DOE response.

Authority for maintenance of the system: 5 U.S.C. 301; 44 U.S.C. 3101; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are used to record Congressional inquiries on behalf of constituents, to ensure proper document control of the response, and to reference DOE responses to such inquiries.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name of constituent and name of member of Congress.

Safeguards: Records are located in lockable metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

Retention and disposal: The records are retained in accordance with DOE's records disposition schedule.

System manager(s) and address: The head of each office which maintains such records.

Notification procedure:

a. Requests by an individual to detemine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Subject individual, member of Congress, and drafter of DOE response.

Systems exempted from certain provisions of the act: None.

DOE-57

System name: Congressional Profiles.

Security classification: Unclassified.

System location:

Office of Congressional Affairs
Washington, D.C. 20585

Categories of individuals covered by the system: Current members of Congress.

Categories of records in the system: Name, picture (taken from Congressional Pictorial Directory), personal background (as developed from published sources), demographic information by State or district, committee assignments, and energy interests (as developed from published sources, information from member's office, abstracts from Congressional Record, committee hearings and other public sources).

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures to Office of Congressional Affairs personnel and senior Departmental officials for information purposes in the ordinary course of business.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, computer printouts.

Retrievability: Name, committee membership, State, region, energy issue topic.

Safeguards: Records are maintained in Federal building with 24-hour guard service. Access is limited to authorized personnel on a need-to-know basis.

Retention and disposal: Records are retained as long as the subject individual remains a member of Congress.

System manager(s) and address:

Director
Office of Congressional Affairs
U.S. Deparment of Energy
Washington, D.C. 20585

Notification procedure: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Act Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: Published sources, committee hearings, and the members' offices.

Systems exempted from certain provisions of the act: None.

DOE-58

System name: General Correspondence Files.

Security classification: Unclassified.

System location: The locations listed in items 1 through 35 of Appendix A and the following additional locations:

Grand Junction Office
P.O. Box 2567
Grand Junction, Colorado 81501

Pittsburgh Naval Reactors Office
P.O. Box 109
West Mifflin, Pennsylvania 15122

Schenectady Naval Reactors Office
P.O. Box 1079
Schenectady, New York 12301

Categories of individuals covered by the system: Individuals communicating by letter with DOE.

Categories of records in the system: Name, address of correspondent, and copies of the agency response.

Authority for maintenance of the system: 5 U.S.C. 301; 44 U.S.C. 3101; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are used by DOE personnel to record written communications from correspondents outside of DOE, to ensure proper document control of the DOE response, and as a reference for such response.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are located in lockable metal file cabinets in secured rooms with access limited to those whose official duties require access.

Retention and disposal: Records are retained in accordance with DOE's records disposition schedule.

System manager(s) and address: The head of each office which maintains such records.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such records may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such records may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate items from among items 1 through 35 of Appendix A and the Pittsburgh Naval Reactors and Schenectady Naval Reactors Offices listed above under system location, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 706.6, and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: Subject individuals and drafter of DOE response.

Systems exempted from certain provisions of the act: None.

DOE-59

System name: Mailing Lists for Requesters of Energy Related Information.

Security classification: Unclassified.

System location: The locations listed as items 1 through 35 in Appendix A.

Categories of individuals covered by the system: Persons requesting energy-related information.

Categories of records in the system: Each of DOE's mailing lists contains the name and address of the subject individual.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records are released to contractors handling bulk and single copy mailings for DOE. Names and addresses of such contactors may be requested from the appropriate System Manager.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, punched cards, magnetic tape and disk, and microfiche.

Retrievability: Records are retrieved by record identification code number; by type of information being disseminated (e.g., solar, nuclear, etc.); or by the occupation, profession, or other stated interest of an individual.

Safeguards: Access is limited to employees with a need to know in the performance of their duties. Records are maintained in buildings with controlled access. Computer information is controlled through established DOE computer center procedures of personnel screening and physical security.

Retention and disposal: The lists are continually updated.

System manager(s) and address:

Headquarters (location 8 in Appendix A):

Director
Office of Administrative Services
U.S. Department of Energy
Washington, D.C. 20585

The managers and directors of field location 1 through 7 and 9 through 35 in Appendix A are System Managers for their respective portions of this system.

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the appropriate address from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) or organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) or organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, at the address listed in the appropriate item from among items 1-35 of Appendix A, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) or organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual, generally as the result of a request for information by such individual.

Systems exempted from certain provisions of the act: None.

DOE-60

System name: Environmental Impact Document Monitoring, Processing and Correspondence Tracking System (IMPACT).

Security classification: Unclassified.

System location:

Headquarters Washington, D.C. 20585

Categories of individuals covered by the system: State and local officials having responsibilities on environmental matters, Federal Government National Environmental Policy Act (NEPA) coordinators, persons affiliated with public interest groups and associations, persons affiliated with congressional delegations, and other persons who have expressed interest in specific environmental matters associ-

ated with DOE activities, by participating in the NEPA comment process.

Categories of records in the system: Name, address, and population segment code for each correspondent; copies of corre spondence and/or hearing submissions; and identification of subject or geographic area of interest. In addition, there is nonpersonal information regarding the status and history of NEPA-related documents.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; National Environmental Policy Act; Council on Environmenal Quality guidelines.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Government agencies with NEPA responsibilities, when necessary for their participation in the DOE NEPA process Parties (and representatives of parties) engaged in litigation involving the DOE NEPA program—where relevant to issues in litigation.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnegtic disk with tape backup.

Retrievability: Name of individual, address, population segment, and/or subject of interest. Retrieval is also possible by date and nature of correspondence.

Safeguards: The system is maintained in a building with controlled access and on computer facilities with controlled entry and access. Access to the records is limited to those employees of the Office of NEPA Affairs specified by the system manager.

Retention and disposal: Retention and disposal of records in this system are based upon the following:

(1) If an individual on his/her own inititive request removal from the mailing list, his/her file will be so marked and will receive no further correspondence. That file will then be considered to be inactive. However, if such an individual has corresponded on an environmental matter which is still active, such records will be retained in active storage until the cases on those statements are closed, at which time the records will be removed to inactive storage.

(2) Once each year, each subject individual will receive a form by which to express current interests. If an individual does not respond within 60 days, that person's records will be retained or deleted based upon whether or not there is any correspondence on a currently active matter, as in (1) above.

System manager(s) and address:

Director
Office of NEPA Affairs
U.S. Department of Energy
Washington, D.C. 20545

Notification procedure: Requests by an individual to determine if a system of records contains information him or her should be directed to the Director, FOI and Privacy Acts activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: The subject individual.

Systems exempted from certain provisions of the act: None.

DOE-61

System name: Census of High Energy Physicists.

System location: Location 8 as listed in Appendix A.

Categories of individuals covered by the system: Scientists and graduate students in the field of high energy physics.

Categories of records in the system: Name, date of birth, education, employment history, research support agencies, technical specialities.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Physicists, research organizations and various Government organizations engaged in physics research—to obtain information on individuals and organizations engaged in high energy physics research.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: By name, employer, or any other combination of data.

Safeguards: Access is limited to Division of High Energy and Nuclear Physics personnel. Records are maintained in locked file cabinet in secured building.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within the DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address:

Associate Director
High Energy and Nuclear Physics
U.S. Department of Energy
Washington, D.C. 20545

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such records may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585 in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such records may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6, and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such records may be located, date of birth, and time period.

Record source categories: High energy physics research group leaders and laboratory directors. Other personnel in the field of high energy physics.

Systems exempted from certain provisions of the act: None.

DOE-62

System name: Historical Files—Published Information Concerning Selected Persons in the Energy Field.

Security classification: Unclassified.

System location:

Historian's Office

Executive Secretariat
Washington, D.C. 20585

Categories of individuals covered by the system: Selected senior staff officials of the Manhattan Project, Atomic Energy Commission, Nuclear Regulatory Commission, Energy Research and Development Administration, DOE, and other selected individuals prominent in the energy field.

Categories of records in the system: Newspaper and magazine articles, press releases, announcements, and speeches.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are used (1) to prepare histories, (2) in responding to informational inquiries from members of the public including the media, and (3) in responding to requests from DOE officials.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are maintained in a locked vault with access dependent upon the permission of the Historian's Office.

Retention and disposal: Records are retained indefinitely with no plans for their disposal.

System manager(s) and address:

Chief Historian
Historian's Office
Executive Secretariat
U.S. Department of Energy
Washington, D.C. 20585

Notification procedure: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: DOE press releases, DOE NewsClips (a daily compilation of energy-related newspaper and magazine articles), and other published sources.

Systems exempted from certain provisions of the act: None.

DOE-63

System name: Electric Rate Demonstration Data Base.

Security classification: Unclassified.

System location: As broken out by project, the records are located at the following participating agencies and utilities:

Arizona—Solar Research Commission, Arizona Public Service Company.

Arkansas—Public Service Commission, Arkansas Power & Light Company.

California—Energy Resources Conservation and Development Commission and Public Utilities Commission, Pacific Gas & Electric Company, San Diego Gas & Electric Company, Southern California Edison Company, Sacramento Municipal Utility District.

Connecticut—Public Utilities Commission, Connecticut Light and Power Company.

New Jersey—State Energy Office, Jersey Central Power & Light Company.

New York—Public Service Commission, Consolidated Edison.

North Carolina—Utilities Commission, Carolina Power & Light Company, Blue Ridge Electric Membership Corporation.

Ohio—Public Utilities Commission, Dayton Power & Light Company, Toledo Edison Company, Buckeye Power Company.

Rhode Island—Public Utilities Commission, Blackstone Valley Electric Company.

Vermont—Public Service Board, Green Mountain Power Company.

Washington—State Energy Office, Seattle City Light (Department of Lighting, City of Seattle), Clark County Public Utilities District, Puget Sound Power & Light Company.

Wisconsin—Public Service Commission, Wisconsin Public Service Corporation.

Puerto Rico—Commonwealth of Puerto Rico, Puerto Rico Water Resources Authority.

Edmond, Oklahoma—City of Edmond, Edmond Municipal Electric Company.

Los Angeles—City of Los Angeles, Los Angeles Department of Water & Power.

For the DOE Headquarters, the location of the records is:

Optimum Systems, Inc.
5615 Fishers Lane
Rockville, Maryland 20852.

Categories of individuals covered by the system: All consumers of electricity participating in DOE-sponsored rate demonstration projects.

Categories of records in the system: Consumer identification number, rate code, historical data on past year's energy consumption, hourly current electrical consumption, household information (including age distribution and income), dwelling characteristics, fuel use information, water heating characteristics, and appliance inventory. The records maintained by the DOE, the parent companies of the participating utilities, and the Electric Power Research Institute will not contain name or other identifying particulars (see discussion under routine uses).

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The participating utilities will use the records maintained for the following purposes: Measurement of price elasticity under various nontraditional rate forms, correlation of demographic characteristics with demand and usage patterns, analysis of shifts in usage patterns under various rate forms and at different times of day and seasons of the year, and determination of changes in load and capacity factors attributable to experimental rates and/or load management techniques.

The records maintained by the participating utilities will also be made available to the participating utilities' parent companies, the sponsoring State and local agencies, the DOE, and the Electric Power Research Institute (EPRI), so that these parties can do analyses of the data similar to those contemplated by the utilities. As previously noted under categories of records maintained, the records made available to the participating utilities' parent companies, the DOE and to EPRI will not contain name or other identifying particulars.

The sponsoring State and local agencies will also use the records to deal with any complaints brought by participating consumers of electricity.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Machine readable records.

Retrievability: By any data element (except by name for the participating utilities' parent companies, EPRI, and DOE Headquarters records).

Safeguards: The contracts with the utilities stipulate that the utilities will exercise all diligence in controlling access to their computer facilities and that only authorized members of the project team and other routine users will be allowed to use the data.

At the DOE, physical, technical, and administrative security is maintained with all storage areas locked when not in use. Admittance, when open, is restricted to authorized personnel only. All personnel that handle or process the data are instructed and cautioned as to the confidentiality of the data and its proper disposition. Remote terminal users need special access code.

Retention and disposal: At the participating utilities and the EPRI, three years after the completion of the test on the utility's system.

At the DOE Headquarters, records will be destroyed within two years of completion of the last project.

System manager(s) and address: For records at the participating utilities:

Arizona Public Service Company
411 North Central Avenue
Phoenix, Arizona 85004
Arkansas Power & Light Company
Box 551
Little Rock, Arkansas 72203
Blackstone Valley Electric Company
Washington Highway, Box 1111
Lincoln, Rhode Island 02865
Blue Ridge Electric Membership Corporation
1216 Blowing Rock Boulevard, NE.
Lenoir, North Carolina 28645
Buckeye Power Company
4302 Indianola Avenue
Columbus, Ohio 43124
Carolina Power & Light
Box 551
Raleigh, North Carolina 27602
Clark County Public Utilities District
Box 1626
1200 Fort Vancouver Way
Vancouver, Washington 98663
Connecticut Light & Power Company
P.O. Box 270
Hartford, Connecticut 06101
Consolidated Edison

Four Irving Place
New York, New York 10003
Dayton Power and Light Company
25 North Main Street
Dayton, Ohio 45401
Edmond Municipal Electric Company
Edmond, Oklahoma 73034
Green Mountain Power Company
One Main Street
Burlington, Vermont 05401
Jersey Central Power & Light Company
Madison Avenue and Punch Bowl Road
Morristown, New Jersey 07960
Los Angeles Department of Water and Power
Box 111
Los Angeles, California 90051
Pacific Gas & Electric Company
77 Beale Street
San Francisco, California 94106
Puerto Rico Water Resources Authority
Planning and Engineering
San Juan, Puerto Rico

Puget Sound Power & Light Company
600 116th Street, NE.
Bellvue, Washington 98009
Sacramento Municipal Utility District
P.O. Box 15830 6201 South Street,
Sacramento, California 95813
San Diego Gas & Electric Company
P.O. Box 800
San Diego,
California 92112
Seattle City Light
(Department of Lighting, City of Seattle),
1015 Third Avenue.
Seattle, Washington 98104
Southern California Edison Company
P.O. Box 1831,
Rosemead, California 91770

Toledo Edison Company
300 Madison Avenue,
Toledo, Ohio 43652

Wisconsin Public Service Corporation,
700 North Adams Avenue,
Green Bay, Wisconsin 54301

For the records at the DOE:

Division of Regulatory Assistance Office of Utility Systems
Economic Regulatory Administration U.S. Department of Energy 2000 M Street, NW. Washington, D.C. 20461

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, DC 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6, and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information. Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individual and those authorized by the individual to furnish information.

Systems exempted from certain provisions of the act: None.

DOE-64

System name: Low-Income Weatherization Program Home Report Records.

Security classification: Unclassified.

System location: For each State participating in this program, the records will be located in the community action agency designated by the State to implement the program. A list of participating States and community action agencies is available from the Director, Office of Weatherization Assistance, Office of Conservation and Solar Applications, Washington, D.C. 20585.

Categories of individuals covered by the system: All persons eligible for weatherization assistance participating in Department of Energy-sponsored weatherization programs.

Categories of records in the system: Information about weatherization program participants, including name, address, annual income; whether participant receives public assistance; whether the participant owns or rents; and number of elderly, handicapped, native American, migrants and total members in a participant's household; information about the characteristics of a participant's dwelling, including fuel use data; before and after information about improvements to the dwelling to be undertaken in connection with the program and information about the costs of such improvements; information about the hours and source of labor involved in making the improvements.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Authority for maintenance of the system: The participating community action agencies will use the records maintained for the following purposes: determination of whether and which improvements should be undertaken; determination of correlation of the demographic and building characteristics to the quantity, quality, and cost of the work undertaken to enable the Department of Energy to monitor the effectiveness of the program.

The Department of Energy will use the record for the following purposes: to assure the effective provisions of weatherization assist-

ance for the dwelling units of low-income persons; to carry out periodic evaluations of the program.

Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: The contracts with the community action agencies stipulate that the community action agencies will exercise all diligence in controlling access to the records maintained under this program and that only authorized members of the community action agency and other routine users will be allowed to use the data. All personnel that handle or process the data are to be instructed and cautioned as to the confidentiality of the data and its proper disposition.

Retention and disposal: Records will be retained for three years or until the completion of the low-income weatherization program.

System manager(s) and address: For each Stae participating in the program, the System Manager will be the head of the community action agency designated by the State to implement the program. A list of participating States and community action agencies is available from:

Director
Office of Weatherization Assistance
Office of Conservation and Solar Applications
U.S. Department of Energy
Washington, D.C. 20585

Notification procedure:

a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record access procedures:

a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Contesting record procedures:

a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

b. Required identifying information: Complete name, the geographic location(s) and organization(s) where requester believes such record may be located, date of birth, and time period.

Record source categories: The subject individuals and those authorized by the individuals to furnish information.

Systems exempted from certain provisions of the act: None.

DOE-65

System name: Energy Extension Service Records.

Subsystem A: Energy Extension Service Client Names.
Subsystem B: Energy Extension Service—Listing of State EES. Employees, Contractors, and Volunteers.

Security classification:

Subsytems A and B:
Unclassified.

System location:

Subsystem A: For each State or Territory participating in this program, the records will be located in the office(s) designated by the State or Territory to implement the program. A list of participating States and Territories and the corresponding offices implementing the program is available from the Evaluation Coordinator, Energy Extension Service, Office of Conservation and Solar Applications, Washington, D.C. 20585.

Subsystem B: Office of the Evaluation Coordinator, Energy Extension Service, Office of Conservation and Solar Applications.

Categories of individuals covered by the system:

Subsystem A: State Energy Extension Service employees, contractors, and volunteers participating in the pilot projects implementing the Energy Extension Service program.

Categories of records in the system:

Subsystem A: Names, addresses, telephone numbers.
Subsystem B: Names, addresses, telephone numbers, project roles.

Authority for maintenance of the system:

Subsystems A and B: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; National Energy Extension Service Act (Title V of the Energy Research and Development Administration Authorization Act of 1977).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Subsystem A:

States: Uses the records for the administration of the subject programs. Also will, in some cases, use the DOE evaluations derived from the records (described immediately below) for evaluation and administration of the subject programs.

DOE: Client names, addresses, and telephone numbers will be used to select a sample for a telephone survey of users of the Energy Extension Service. The survey will provide information on client evaluation of the service and on energy conserving activities which clients may have taken as a result of the availability of the service. The prime contractor for the survey is ICF, Inc., which will receive the requisite records from the State EES's and, in turn, make them available to Westat, Inc., the subcontractor which will actually perform the evaluation. DOE will receive only information which is distinguishable between persons, but which is not identifiable to specific persons. However, DOE anticipates that it will retain the capability to disclose to a participating State not only the evaluation but also the corresponding client identities for clients of that particular State.

Subsystem B:

DOE: Uses the records to evaluate the implementation of the program by participating States and Territories.

Subsystems A and B: The additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Subsystems A and B: Paper records.

Retrievability: Subsystems A and B: Name.

Safeguards:

Subsystem A: The agreements with the States stipulate that the offices maintaining the records will exercise all diligence in controlling access to them with only authorized personnel and routine users allowed access. All personnel who handle or process these records are instructed and cautioned as to the confidentiality of the data and its proper disposition.

Subsystem B: Records are retained in lockable metal file cabinets with access limited to authorized personnel on a need-to-know basis.

Retention and disposal:

Subsystem A: The records will be retained as long as they are useful in implementing the program.

Subsystem B: The records will be retained only for the time necessary to evaluate the States' implementation of the Energy Extension Service pilot projects.

System manager(s) and address:

Subsystems A and B:

Evaluation Coordinator
Energy Extension Service
Office of Conservation and Solar Applications
U.S. Department of Energy
Washington, D.C. 20585

Notification procedure:

Subsystems A and B: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's

Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures:

Subsystems A and B: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures:

Subsystems A and B: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 7087, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories:

Subsystem A: Subject individuals.

Subsystem B: The State or Territory implementing the program and the subject individuals.

Systems exempted from certain provisions of the act:

Subsystems A and B: None.

DOE-66

System name: Power Sales to Individuals.

Security classification: Unclassified.

System location:

Western Area Power Administration
P.O. Box 3402
Golden, Colorado 80401

Also, records in this system are located at various regional offices of the Western Area Power Administration.

Categories of individuals covered by the system: Individuals purchasing power from the Western Area Power Administration.

Categories of records in the system: Executed contracts, agreements, amendments, extensions, and related correspondence.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records.

Retrievability: By name.

Safeguards: Records are maintained in a locked facility with access limited to authorized personnel on a need-to-know basis.

Retention and disposal: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition."

System manager(s) and address:

Administrator
Western Area Power Administration
U.S. Department of Energy
P.O. Box 3402
Golden, Colorado 80401

Notification procedure: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR part 206 or Part 708 should apply.

Record access procedures: Requests by an individual for access to a system of record that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: Subject individuals.

Systems exempted from certain provisions of the act: None.

DOE-67

System name: Participants in Experiments, Studies, and Surveys.

Subsystem A: EIA-23 Survey Reports (Annual Survey of Domestic Oil and Gas Reserves) Submitted by Natural Persons.

Subsystem B: EIA-84 Survey Reports (National Interim Energy Consumption Survey).

Subsystem C: EIA-141 Survey Reports (Pretest of Transportation Panel).

Subsystem D: EIA-178 Survey Reports (Pacific Northwest Residential Energy Survey).

Subsystem E: Hanford Clinical Epidemiologic Studies

Security classification:

Subsystems, A, B, C and D: Unclassified.

System location: Generally: Portions of the system may be located with contractors or other entities involved in conducting the experiments, studies or surveys, or in any DOE office. A complete listing of the location of all subsystems of this system is available from the Director, Division of FOI and Privacy Act Activities, Department of Energy, Washington, D.C. 20585.

Subsystem A:

Office of Oil and Gas Information System
Forrestal Building, Room 2E-076
1000 Independence Avenue, SW.
Washington, D.C. 20585

Information Systems Program/Energy Resources Center
University of Oklahoma
Physical Sciences Building
Norman, Oklahoma 73070

Subsystems B and C:
Response Analysis Corporation
Route 206, Research Park
Princeton, New Jersey 08540

Subsystem D:
Elrick and Lavidge
650 California Street
San Francisco, California 94108

Subsystem E:
Hanford Environmental Health Foundation
Post Office Box 100
Richland, Washington, 99352.

Categories of individuals covered by the system: Generally: Individuals who are participants in experiments, studies, and surveys undertaken in furtherance of authorized DOE research activities.

Subsystem A: Natural person (as opposed to business) respondents to the Form EIA-23, Annual Survey of Domestic Oil and Gas Reserves.

Subsystem B: Persons responding to the Form EIA-84, National Interim Energy Consumption Survey.

Subsystem C: Persons responding to the Form EIA-141, Pretest of Transportation Panel.

Subsystem D: Persons responding to the Form EIA-178, Pacific Northwest Residential Energy Survey.

Subsytem E: All present and former Department of Energy (DOE) and DOE contractor Richland Operations employees, their spouses, and offspring, and selected controls.

Categories of records in the system: Generally: Name, age, birth date, place of birth, sex, race, home address and telephone number, business address and telephone number, education, income, occupation, family size and composition, patterns of product use, and such other information as is necessary, to be determined by the subject matter and purpose of the experiment, study or survey, including

data derived from participants' responses during the course of the authorized research.

Subsystem A: Name, address and telephone number, social security number, reserves, and production data.

Subsystems B, C and D: Name, age, birth date, sex, home address and telephone number, education, income, occupation, family size and composition, characteristics of housing unit, patterns of energy consumption.

Subsystem E: This system consists of a variety of records pertinent to the health status of individuals and their families: medical history; reproductive history; birth records; developmental history; occupational history and work environment; demographic information; and selected items such as smoking habits, alcohol use, family medical history, and location of residence.

Authority for maintenance of the system: Generally, including authority for establishment of system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Subsystem A data collection authority: Section 13(b) of the Federal Energy Administration Act of 1974.

Subsystems B and C data collection authority: Section 52 of the Federal Energy Administration Act of 1974.

Subsystem D data collection authority: Section 2(f) of the Bonneville Project Act of 1937.

Subsystem E:Section 161(i)(3), Atomic Energy Act of 1954, as amended, 42 USC 2201(i)(3) (1976); Section 301, Department of Energy Organization Act (Public Law 95-91).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Generally and Subsystems A, B, C and D: Information in this system may, on occasion, be disclosed to Federal agencies and other entities which are participating in research in connection with which the data were obtained. Information in the possession of the Energy Information Administration must be disclosed, upon request, to any DOE office which determines the information relates to its functions.

Additional routine uses as listed in Appendix B.

Subsystems B, C and D: In addition to the above, it should be noted that the DOE, as a routine user of these records, receives from its contractors, Response Analysis and Elrick and Lavidge, only records which do not admit of identification of the individual respondents.

Subsystem E: a. Disclosure may be made to DOE contractors and collaborating researchers and their staff for the purposes of determining influences of the workplace, and other factors, on the health of workers and their families. The contractor and/or collaborating researchers and their staff shall be required to maintain Privacy Act Safeguards with respect to such records.

b. Portions of records (name, social security number if known, date of birth and last known address) may be disclosed to one or more of the following to obtain a current address for the individual: Federal, state, and local agencies; employers; retail credit associations; commercial tracing firms; trade unions; and relatives and associates. The purpose of obtaining the address is so that the individual can be contacted and asked to provide additional research information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Generally: Paper records in file folders, electromagnetic storage material, and microform.

Subsystem A: Paper records, microfiche, disk, and tape.

Subsystems B and C: Paper records.

Subsystem D: Magnetic tape.

Subsystem E: Paper records, computer printouts, index cards, microfilm and disc.

Retrievability: Generally: Filed alphabetically by name, control number, or other code identifier.

Subsystem A: Retrievable by any data element.

Subsystems B, C and D: By name, identification number, and geographic location.

Subsystem E: By name, alphanumeric code, and social security number.

Safeguards: Generally: During business hours the records at DOE sites are maintained in secured buildings with access limited to those whose official duties require access; during nonbusiness hours, the records are in secured rooms with access controlled by security guards. Any records maintained by other entities will be maintained in a similar fashion in accordance with DOE specifications.

Subsystem A: The contract with the University of Oklahoma stipulates that it will exercise all diligence in controlling access to the records maintained under the program and that only authorized members of the contractor, DOE, and routine users will be allowed to use the data. All personnel that handle or process the data are instructed and cautioned as to the confidentiality of the data and its proper disposition.

Subsystems B, C and D: The contracts with Response Analysis and Elrick and Lavidge stipulates that it will exercise all diligence in controlling access to the records maintained under the program and that only authorized members of Response Analysis, Elrick and Lavidge, DOE, and routine users will be allowed to use the data. All personnel that handle or process the data are instructed and cautioned as to the confidentiality of the data and its proper disposition.

In addition, the records DOE receives do not admit of identification of the individual respondents.

Subsystem E: Records are maintained in locked file cabinets, in secured buildings. Access is limited to individuals having a need to know.

Retention and disposal: Generally: Retained in accordance with DOE's records control schedule.

Subsystem A: It is intended that the records will be maintained indefinitely.

Subsystems B and C: It is expected that these records will be destroyed approximately 9 months after the data is obtained.

Subsystem D: It is expected that records which identify the individual households will be destroyed approximately 3 months after the data is collected.

Subsystem E: Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records within DOE are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: Generally: The designated person in each office conducting the relevant experiment, study, or survey. A listing of these persons is available from the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585.

Subsystems A, B, C and D:

Administrator, Energy Information Administration (or designee)
U.S. Department of Energy
Federal Building, 12th and Pennsylvania Avenue, NW.
Washington, D.C. 20461

Subsystem E:

Manager, Richland Operations Office,
P.O. Box 550,
Richland, Washington 99352.

Notification procedure: Generally and Subsystems A, B, C and D: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Subsystem E: a. Requests by an individual to determine if the system of records contains information about him or her should be directed to:

Director, FOI & Privacy Acts Activities,
Department of Energy,
Richland Operations Office,
P.O. Box 550,
Richland, Washington 99352.

b. Required identifying information:
i. Complete name at the time of the study.
ii. Birthdate.
iii. Social security number.
iv. Current name, address and telephone number.

Record access procedures: Generally and Subsystems A, B, C and D: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Subsystem E: Requests by an individual for access to a system of records that contains information about him or her should be directed to the DIRECTOR, FOI and Privacy Acts Activities at the above address.

Required identifying information is complete name at the time of the study, birthdate, social security number, current name, address and telephone number.

Contesting record procedures: Generally and Subsystems A, B, C and D: Requests by an individual to correct or amend the content of a record containing information about him should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6 and 708.7, FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR, Part 206 or Part 708 should apply.

Subsystem E: Requests by an individual to correct or amend the content of a record containing information about him/her should be directed to the address given above. The information required under notification procedures must be included as well as the record and information to be contested.

Record source categories: Generally: The subject individuals and those authorized by the individuals to furnish information.

Subsystem A: The subject individual.

Subsystems B, C and D: The subject individual and utility companies authorized by the individual to disclose consumption and billing information.

Subsystem E: The individual who is the subject of the record; family members; physicians; medical institutions; federal, state, and local agencies; occupational and employment records.

Systems exempted from certain provisions of the act: Generally and Subsystems A, B, and C: None.

Subsystem E:None.

DOE-68

System name: Minority Energy Technical Assistance Program (METAP) Records.

Security classification: Unclassified.

System location: For the Department of Energy, records are located at:

Office of Special Projects
Office of Conservation and Solar Applications
Washington, D.C. 20585

For the Center for Urban Environmental Studies (CUES), records are located at:

Center for Urban Environmental Studies
1012 14th Street, NW.
Washington, D.C.

Categories of individuals covered by the system: Selected elected officials.

Categories of records in the system: Name, position, sources of energy information, perception of needs of constitutents for energy information.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

CUES: Records are used to construct training programs for the DOE. Additional routine uses as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: At DOE, computer medium records. At CUES, paper records.

Retrievability: By name and Federal region.

Safeguards: At DOE, records are maintained in a locked facility, with access limited to authorized personnel on a need-to-know basis.

At CUES, the grant agreement with CUES stipulates that CUES will exercise all diligence in controlling access to the records maintained under this program and that only authorized members of CUES, DOE, and routine users will be allowed to use the data. All personnel that handle or process the data are to be instructed and cautioned as to the confidentiality of the data and its proper disposition.

System manager(s) and address:

Assistant Secretary for Conservation and Solar Applications (or designee)
U.S. Department of Energy
Washington, D.C. 20585

Notification procedure: Requests by an individual to determine if a system of records contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record access procedures: Requests by an individual for access to a system of records that contains information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.3, 40 FR 45610 (October 2, 1975) or 10 CFR 708.6, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Contesting record procedures: Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Director, FOI and Privacy Acts Activities, Department of Energy, Washington, D.C. 20585, in accordance with DOE's Privacy Act regulations (10 CFR 206.7, 40 FR 45613 (October 2, 1975) or 10 CFR 708.6, and 708.7, 40 FR 7320 (February 19, 1975)). DOE will determine whether 10 CFR Part 206 or Part 708 should apply.

Record source categories: Subject individual.

Systems exempted from certain provisions of the act: None.

DOE 69

System name: Residential Solar Water Heating Workshops Pilot Program Records.

System location: Bonneville Power Administration, Division of Conservation, P.O. Box 3621, Portland, Oregon 97208; and utilities that may participate in the program.

Categories of individuals covered by the system: Individuals who have requested participation in the Residential Solar Water Heating Workshops Pilot Program and who meet the homeowner eligibility criteria agreed upon by BPA and by participating utilities.

Categories of records in the system: Information about a participant's household hot water consumption prior to installation of a solar hot water heating system, electric energy consumption for water heating, family size, siting and orientation of house, roof area available for solar collectors, hours of daily sunlight on the roof top year round, extent of shading by nearby buildings or vegetation, storage area for water tank(s), structural aspects relating to solar system installation, and data about the performance of the water heating system after installation.

Authority for maintenance of the system: Bonneville Project Act of 1937, 16 U.S.C. Chapter 12B (1976), as amended by the Flood Control Act of 1944 (16 U.S.C Section 825s), and the Federal Columbia River Transmission Act of 1974 (16 U.S.C. Chapter 838).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information will be maintained by the utility and will be used (1) to assess the electric energy displacement for water heating by the solar system; (2) to evaluate the performance of several types of solar water heating systems, under varying seasonal and climatic conditions; (3) to assess the potential regional impact of solar energy used for water heating; (4) to determine eligibility of participants for BPA rebates; and (5) to evaluate the performance of owner-built solar water heating systems.

BPA will use this information in statistical form to (1) evaluate the overall effectiveness of the program, and (2) to provide a public data base which will be used to plan and analyze appropriate conservation measures for residents of the Pacific Northwest.

The utility will make information available (1) to Federal, State, and local agencies and organizations with an interest in solar development in the region, and (2) to BPA for audit and program evaluation purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained (1) on paper in file folders, and (2) on computer tape.

Retrievability: Records are indexed by a utility account number assigned to each utility customer.

Safeguards: Access to and use of these records is limited to those persons who official duties require such access. All files are locked when unattended.

Retention and disposal: A records retention and disposal will be developed and issued consistent with Order 1324.1, Records Disposition.

System manager(s) and address: Walter E. Pollock, Acting Director, Division of Conservation, Bonneville Power Administration, P.O. 3621, Portland, Oregon 97208, (503) 234-3361 Ext. 4082.

Notification procedure: Individuals about whom information is maintained in this system of records are aware of that fact through participation in the program. However, inquiries may be addressed to the System Manager named above. Requests should include the individual's full name and address.

Record access procedures: Requests for access may be directed to the System Manager named above.

Contesting record procedures: Individuals desiring to contest or amend information maintained in this system should direct their request to the System Manager named above.

Record source categories: The information in this system is solicited from the individual to who the record pertains. Information about homes will be gathered by representatives of the utilities based on an examination of the home conducted in cooperation with the customer.

DOE-70

System name: Electricity Use and Conservation Analysis Records.

System location: Bonneville Power Administration, Conservation Section, P.O. Box 3621, Portland, OR 97208; and utilities that may be participating in the program and announced here annually.

Categories of individuals covered by the system: Individuals who have requested participation in the Residential Conservation Program.

Categories of records in the system: Information about a person's household energy consumption, family size, characteristics of his/her dwelling, including heating and cooling systems; structural aspects related to thermal efficiency, and other characteristics which affect patterns of residential energy consumption.

Authority for maintenance of the system: Bonneville Project Act of 1937, 16 U.S.C. Chapter 12B (1976), as amended by the Flood Control Act of 1944 (16 U.S.C. 825s) and the Federal Columbia River Transmission System Act of 1974 (16 U.S.C. Ch. 838).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information will be maintained by the utility and wil be used (1) to evaluate various energy-saving opportunities in the home; (2) to calculate energy and financial savings which could result from weatherization improvements in the home; (3) to make recommendations concerning weatherization improvements in the home; (4) to determine eligibility for DOE weatherization financing; and (5) to provide a record of weatherization improvements and household energy efficiency to subsequent owners of the home.

DOE (Bonneville Power Administration) will use this information in aggregated statistical form, without identifiers, to (1) evaluate the overall effectiveness of the program through statistical analysis, (2) provide a public data base which will be used to plan and analyze appropriate conservation measures for residents of the Pacific Northwest.

The utility will make information available (1) to building contractors for use in preparing and submitting bids for the performance of weatherization work; (2) DOE for audit and program evaluation purposes. The information provided to DOE will include a unique utility company account number for each customer, but not the customers' names and addresses; without the latter information, the customers' identities will not be traceable by DOE.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained (1) on paper and stored in file folders, and (2) on computer tape without individuals' names and addresses. As noted above, under Routines, uses, the customers' unique billing account numbers will be in the file but not traceable to individual customers.

Retrievability: Records are indexed by a utility account number assigned to each utility customer.

Safeguards: Access to and use of individually identifiable records are limited to those persons whose official duties require such access. All files are locked when unattended. Names and addresses of individuals will not be disclosed to DOE.

Retention and disposal: A records retention and disposal authorization will be developed and issued in the effective edition of DOE Order 1324.1, Records Disposition.

System manager(s) and address: Walter E. Pollock, Head, Energy Conservation Section, Bonneville Power Administration, P.O. Box 3621, Portland, OR 97208, (503) 234-3361 Ext. 4082.

Notification procedure: Individuals about whom information is maintained in this system of records are aware of that fact through participation in the program. However, inquiries may be addresses to the System Manager named above. Requests should include the individual's full name and address.

Record access procedures: Requests for access may be directed to the System Manager named above.

Contesting record procedures: Individuals desiring to contest or amend information about them maintained in this system should direct their request to the System Manager named above.

Record source categories: The information in this system is solicited from the individual to whom the record pertains. Information about homes will be gathered by representatives of the utilities based on an examination of the home conducted in cooperation with the customer.

DOE-71

System name: The Radiation Accident Registry.

Security classification: Unclassified.

System location: Oak Ridge Operations Office, P.O. Box E, Oak Ridge, Tennessee 37830.

Categories of individuals covered by the system: 1. Those persons accidentally exposed to acute doses of ionizing radiation as defined by exposure dose criteria agreed to by the Department of Energy and the Nuclear Regulatory Commission by an interagency agreement. The dose criteria established by this agreement include one or more of the following: (a) Greater than or equal to 25 REM (Roentgen Equivalent Man) to the whole body, active blood-forming organs or gonads; (b) greater than or equal to 600 REM to skin of whole body or extremities; (c) greater than or equal to 75 REM to other tissues or organs from an external source; (d) greater than or equal to ¼ NCRP maximum permissible organ burden internally; all those medical misadministrations of radioisotopes that result in a dose or organ burden equal to or greater than those given above.

2. Those individuals known to have been involved in an event in which one or more other persons received a dose equal to or in excess of the DOE/NRC criteria but whose personal dose was less than these criteria. The histories of these individuals contribute control population data.

Categories of records in the system: 1. Official accident reports including reports of those accidents that ahve occurred within the jurisdiction of the Nuclear Regulatory Commission and which have been transferred to the Department of Energy for the Accident Registry according to the Department of Energy/Nuclear Regulatory Commission agreement.

2. Names, addresses, social security numbers or other identifiers, and vital status information such as age, sex, race, etc.

3. Original or copied medical records compiled at the time of the accident. Such records include physician and hospital records, diagnostic and laboratory test reports, radiographs, EKGs, etc., and radiation exposure reports.

4. Original or copies of medical records of illnesses, examinations, including routine follow-up exams, investigations, etc., that have occurred since the radiation exposure.

5. Photographs or facsimiles of radiation-induced injuries.

6. Search and contact information for registrants as yet not identified and/or located.

7. Consent to release information forms completed by registrants.

8. Death certificates (copies).

9. Anecdotal information.

10. Correspondence relating to the accident and/or the individuals involved; originals and copies.

Authority for maintenance of the system: 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. To provide a current record of radiation accidents for use by the Department of Energy, and its contractors and consultants.

2. To identify specific populations for use in epidemiological and clinical studies.

3. To conduct medical surveillance during the lifetime of the registrants.

4. Additional uses 4, 8, 9, 10, as listed in Appendix B to the Department of Energy publication of systems of records, 45 FR 51125, 8/30/79.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, computer tapes, computer printouts, punched cards, discs, magnetic tape and microfilm.

Retrievability: By name and social security number.

Safeguards: Records are maintained in locked security areas in locked file cabinets. Access is limited to individuals whose official duties require access.

Retention and disposal:

Records retention and disposal authorities are contained in the DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: The Manager of the Oak Ridge Operations Office is the System Manager.

Notification procedure: a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Privacy Act Officer, Department of Energy, P.O. Box E, Oak Ridge, Tennessee 37830 in accordance with the Department of Energy's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Name, social security number, and time period.

Record access procedures: a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Privacy Act Officer, Department of Energy, P.O. Box E, Oak Ridge, Tennessee 37830 in accordance with the Department of Energy's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Name, social security number, and time period.

Record source categories: The individual, medical records, physicians, medical institutions, and reports of incident/accident investigations from private and public sources, radiation dosimetry records, security clearance records and employment records.

Systems exempted from certain provisions of the act: None.

DOE–72

System name: The Department of Energy Radiation Study Registry.

Security classification: Unclassified.

System location: Oak Ridge Operations Office, P.O. Box E, Oak Ridge, Tennessee 37830

Categories of individuals covered by the system: Registrants are those present and former employees of contractors of the Department of Energy and its predecessor organizations including the Manhattan District, USAEC, and ERDA, and present and former civilian employees in the Department of Energy Naval Reactor Program who received a whole body exposure of ionizing radiation equal to or in excess of 5 REM in any one calendar year.

Categories of records in the system: 1. Rosters of names of individuals meeting the above criteria for inclusion in the Registry submitted through the Department of Energy field operation offices from Department of Energy-owned and operated facilities and sites. In addition to names of such individuals, these rosters include social security number or other identifying information, sex, race, date of birth, date and/or place of death, first date of hire, last date of termination, continuity of hire, year in which they received first dose, greater than or equal to 5 REM, actual radiation dose in excess of 5 REM, total career radiation esposure dose.

2. Original or copied lifetime medical records from plant and private physicians and hospitals including routing physical examinations, reports of diagnostic and laboratory tests, radiographs, EKGS, etc., or abstracted portions of such records as are required for the purposes of the study.

3. Search and contact information for registrants who are no longer employed at qualified sites or who are deceased.

4. Death Certificates.

Authority for maintenance of the system: 5 U.S.C. 301, Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. To provide a current record of registrants for use by Department of Energy, and its contractors and consultants.

2. To identify specific populations for use in epidemiological and clinical studies.

3. To conduct medical surveillance during the lifetime of the registrants.

4. Additional uses 4, 8, 9, 10, as listed in Appendix B to the Department of Energy publication of systems of records, 45 FR 51125, 8/30/79.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, computer tapes, computer printouts, punched cards, dics, magnetic tape and microfilm.

Retrievability: By name and social security number.

Safeguards: Records are maintained in locked security areas in locked file cabinets. Access is limited to individuals whose official duties require access.

Retention and disposal: Records retention and disposal authorities are contained in the DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: The Manager of the Oak Ridge Operations Office is the System Manager.

Notification procedure: a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Privacy Act Officer, Department of Energy, P.O. Box E, Oak Ridge, Tennessee 37830 in accordance with the Department of Energy's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Name, social security number, and time period.

Record access procedures: a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Privacy Act Officer, Department of Energy, P.O. Box E, Oak Ridge, Tennessee 37830 in accordance with the Department of Energy's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Name, social security number, and time period.

Record source categories: The individual, medical records, physicians, medical institutions, and reports of incident/accident investigations from private and public sources, radiation dosimetry records, security clearance records and employment records

Systems exempted from certain provisions of the act: None.

DOE–73

System name: The US-DTPA Registry.

Security classification: Unclassified.

System location: Oak Ridge Operations Office, P.O. Box E, Oak Ridge, Tennessee 37830.

Categories of individuals covered by the system: Registrants are those individuals who, because of real or suspected internal contamination with transuranic elements, have received diethylenetriaminepentaacetic acid (DTPA), in the calcium or zinc form during the course of chelation therapy. Administration of the agent DTPA is limited to physicians who are co-investigators with the Department of Energy contractor staff on the Investigative New Drug License of the Food and Drug Administration.

Categories of records in the system: 1. The records compiled by the physician administering DTPA in the event of an exposure that was known to have or was suspected of having caused transuranic contamination internally requiring chelation therapy with DTPA. These records include a description of the exposure, the results of serial bioassays and investigations conducted to evaluate the level of internal contamination and the efficacy of subsequent chelation by DTPA. The form of DTPA and the route and frequency of administration are recorded together with an untoward effects of the therapy.

2. Names, social security numbers or other identifiers and vital status of treated persons. The last known addresses and the names of the private physicians of individuals who have relocated or who are no longer within the practice of the administering physician(s) are included in the DTPA Registry to facilitate the search and contact of these individuals.

3. Original or copies of medical records of illnesses, examinations, including routine followup examinations, investigations, etc., that have occurred since the initial administration of DTPA.

4. Death certification.

Authority for maintenance of the system: 5 U.S.C. 301: Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. To provide a current record of individuals treated with DTPA for use by the Department of Energy and its contractors and consultants.

2. To identify by epidemiological methods any long-term untoward effects associated with DTPA therapy.

3. To provide information to FDA in accord with the I.N.D. license and issuances.

4. Additional uses 4, 8, 9, 10, as listed in Appendix B.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, computer tapes, computer printouts, punched cards, discs, magnetic tape and microfilm.

Retrievability: By name and social security number.

Safeguards: Records are maintained in locked security areas in locked file cabinets. Access is limited to individuals whose official duties require access.

Retention and disposal: Records retention and disposal authorities are contained in the DOE Order 1324.1, "Records Disposition." Records within the Department of Energy are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: The Manager of the Oak Ridge Operations Office is the System Manager.

Notification procedure: a. Requests by an individual to determine if a system of records contains information about him or her should be directed to the Privacy Act Officer, Department of Energy, P.O. Box E, Oak Ridge, Tennessee 37830 in accordance with the Department of Energy's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Name, social security number, and time period.

Record access procedures: a. Requests by an individual for access to a system of records that contains information about him or her should be directed to the Privacy Act Officer, Department of Energy, P.O. Box E, Oak Ridge, Tennessee 37830 in accordance with the Department of Energy's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

b. Required identifying information: Name, social security number, and time period.

Contesting record procedures: a. Requests by an individual to correct or amend the content of a record containing information about him or her should be directed to the Privacy Act Officer, Department of Energy, P.O. Box E, Oak Ridge, Tennessee 37830 in accordance with the Department of Energy's Privacy Act regulations (10 CFR Part 1008, 45 FR 61576, September 16, 1980).

Record source categories: The individual, medical records, physicians, medical institutions, and reports of incident/accident investigations from private and public sources, radiation dosimetry records, security clearance records and employment records.

Systems exempted from certain provisions of the act: None.

DOE-74

System name: Bonneville Power Administration Conservation Program

System location: Bonneville Power Administration, Division of Conservation, P.O. Box 3621, Portland, Oregon 97208; and utilities or other entities which may participate in the program.

Categories of individuals covered by the system: Any participant in a Bonneville conservation program will be included in the system of records. For example, participants include but are not limited to, residential consumers, commercial consumers, contractors, utility personnel, and personnel of other implementing entities.

Categories of records in the system: Information about individual energy consumption including names, addresses and other demographic data; characteristics of buildings; characteristics about natural phenomenon (such as wind, sunlight, geothermal activity, etc.); structural aspects related to thermal efficiency; information as to type, location, and number of installed measures; performance data; information relating to BPA financial assistance to consumers; and information as to auditor/analyst training.

Authority for maintenance of the system: Bonneville Project Act of 1937, 16 U.S.C. Chapter 12B (1976), as amended by the Flood Control Act of 1944 (16 U.S.C. section 825s), the Federal Columbia River Transmission System Act of 1974 (16 U.S.C. Chapter 838), and the Pacific Northwest Electric Power Planning and Conservation Act (Pub. L. 96-501).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information will be maintained by BPA, a utility, or other entity administering the program and will be used (1) to determine eligibility for and to account for BPA payments; (2) to evaluate the electric energy displacement for conservation and direct application renewable resource measures; (3) to evaluate the performance of specific measures; (4) to assess potential regional impact of individual pilot measures; (5) to make recommendations to consumers concerning energy efficiency; (6) to assist in preparing detailed resource assessments; (7) to assist in installation or repair of measures; and (8) to assist in verification or correction of services rendered under this program. Information may also be released to the public in aggregated form for purposes of survey and program analysis. Except in cases (1), (7), and (8), above, information will not be released in other than aggregated form without the prior consent of the individual.

BPA will use this information in statistical form (1) to evaluate the overall effectiveness of the program, and (2) to provide and make available a public data base which will be used to plan and analyze appropriate conservation and direct application renewable resource measures for firms and residents of the Pacific Northwest.

The utility or other entity administering the program will make information available (1) in aggregated form to Federal, State, and local agencies and organizations with an interest in conservation and direct application renewable resource measures, and (2) to BPA for audit and program evaluation purposes. When necessary for accomplishing a measure, the utility or other entity will make information available to contractors for use in preparing and submitting bids for work, and to repair persons called upon to evaluate, correct deficiencies in, or otherwise repair installed measures. The utility or other entity may disclose site or building-specific information to subsequent purchasers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained (1) on paper in file folders, and (2) on computer tape or disc.

Retrievability: Records maintained by the utility are indexed by a utility account number assigned to each utility customer. Records are indexed by other assigned numbers when maintained at a location other than a utility.

Safeguards: Access to and use of these records is limited to those persons whose official duties require such access. All files are locked or otherwise secure when unattended.

Retention and disposal: A records retention and disposal authorization will be developed and issued in the effective edition of Order DOE 1324.2, Records Disposition.

System manager(s) and address: Mr. John L. Elizalde, Chief, Program Branch, PEP, Division of Conservation, Bonneville Power Administration, P.O. Box 3621, Portland, Oregon 97208, 503-234-3361, Ext. 4086.

Notification procedure: Individuals about whom information is maintained in this system of records are aware of that fact through participation in the program. However, inquiries may be addressed to the System Manager named above. Requests should include the individual's full name and address. Procedures for existing Privacy Act rights are contained in DOE's Privacy Act regulations, 10 CFR 1008, 45 FR 61576, September 16, 1980.

Record access procedures: Requests for access may be directed to the System Manager named above.

Contesting record procedures: Individuals desiring to contest or amend information about them maintained in this system should direct their request to the System Manager named above.

Record source categories: The information in this system is solicited from the individual to whom the record pertains. Information will also be gathered from data collection and other monitoring equipment such as electric meters, flowmeters, air quality monitors, and so forth. Information will be gathered by representatives of the utilities or by others at BPA's request.

DOE-75

System name: Savannah River Plant Telephone Call Account System (Call Account System).

Security classification: Unclassified.

System location: U.S. Department of Energy, Savannah River Operations Office, P.O. Box A, Aiken, SC 29801.

Categories of individuals covered by the system: Employees of Department of Energy (DOE), other federal agencies and contractors who are assigned telephone station numbers under the Savannah River Plant telephone system.

Categories of records in the system: Calling station number and Julian date, time call originated, duration of call and called number. Similar information is recorded on incoming calls except the number of rings are recorded rather than calling station number.

Authority for maintenance of the system: 5 U.S.C. 301; Section 644 of the Department of Energy Organization Act (Pub. L. 95-91), including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. To maintain an adequate grade of service on the trunk groups.

2. To certify toll charges.

3. To improve system usage by correcting misuse and by management to monitor system usage.

4. Additional routine uses, 1, 2, 3, 4, 5, 8, 9 as listed in Appendix B to DOE publication of systems of records, 45 FR 51125, 8/30/79.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained (1) on paper, (2) magnetic tapes and (3) microfilm.

Retrievability:

By telephone numbers, which are assigned to staff members on a nearly one-to-one basis.

Safeguards:

Access to and use of these records is limited to those persons whose official duties require such access. All records are maintained in locked files.

Retention and disposal:

Records retention and disposal authorities are contained in DOE Order 1324.1, "Records Disposition." Records are destroyed by shredding, burning, or burial in a sanitary landfill, as appropriate.

System manager(s) and address: L. D. Eggenberger, Chief, Telecommunications and Emergency Planning Branch, Savannah River Operations Office, U.S. Department of Energy, Aiken, SC 29801, (803) 725-3057.

Notification procedure: a. Requests by an individual to determine if this system of records contains information about him/her should be directed to the Manager, U.S. Department of Energy, Savannah River Operations Office, Aiken, SC 29801, in accordance with DOE's Privacy Act Regulations (10 CFR Part 1008, September 16, 1980, 45 FR 61576).

b. Requests should include the individual's full name, telephone number, employer, place of employment and time period involved.

Record access procedures: a. Requests by an individual for access to records in the system that contain information about him/her should be directed to the Manager, U.S. Department of Energy, Savannah River Operations Office, Aiken, SC 29801, in accordance with DOE's Privacy Act Regulations (10 CFR 1008, September 16, 1980, 45 FR 61576).

b. Requests should include the individual's full name, telephone number, employer, place of employment and time period involved.

Contesting record procedures: a. Requests by an individual to correct or amend the content of a record in this system containing information about him/her should be directed to the Manager, U.S. Department of Energy, Savannah River Operations Office, Aiken, SC 29801, in accordance with DOE's Privacy Act Regulations (10 CFR 1008, September 16, 1980, 45 FR 61576).

b. Request should include the individual's full name, telephone number, employer, place of employment and time period involved.

Record source categories: :

The information contained in this system of records is derived from use of the Savannah River Telephone System.

Systems exempted from certain provisions of the act: None.

Appendix A
(1) Alaska Power Administration
P.O. Box 50
Juneau, Alaska 99802

(2) Albuquerque Operations Office
P.O Box 5400
Albuquerque, New Mexico 87115

(3) Bartlesville Energy Technology Center
P.O Box 1398
Bartlesville, Oklahoma 74003

(4) Bonneville Power Administration
1002 N.W. Holladay Street
P.O Box 3621
Portland, Oregon 97208

(5) Central District Office of Enforcement
(Kansas City (HQ), Chicago, Cleveland, Detroit, St. Louis, Wichita)
Twelve Grand Building
1150 Grand Avenue
Kansas City, Missouri 64106

(6) Chicago Operations Office
9800 South Cass Avenue
Argonne, Illinois 60439

(7) Grand Forks Energy Technology Center
P.O Box 8213, University Station
Grand forks, North Dakota 58201

(8) Headquarters, Department of Energy
Washington, D.C. 20585

(9) Idaho Operations Office
550 2nd Street
Idaho Falls, Idaho 83401

(10) Laramie Energy Technology Center
P.O Box 3395, University Station
Laramie, Wyoming 82070

(11) Morgantown Energy Technology Center
P.O Box 830
Morgantown, West Virginia 26505
(12) Nevada Operations Office
P.O Box 14100
Las Vegas, Nevada 89114

(13) Northeast District Office of Enforcement
(Philadelphia (HQ), Boston, New York, Pittsburgh)
1421 Cherry Street, 10th Floor
Philadelphia, Pennsylvania 19102

(14) Oak Ridge Operations Office
P.O Box E
Oak Ridge, Tennessee 37830

(15) Pittsburgh Energy Technology Center
4800 Forbes Avenue
Pittsburgh, Pennsylvania 15213

(16) Region I
Analex Building, Room 700
150 Causeway Street
Boston, Massachusetts 02114

(17) Region II
26 Federal Plaza
Room 3206
New York, New York 10007

(18) Region III
10th Floor
1421 Cherry Street
Philadelphia, Pennsylvania 19102

(19) Region IV
8th Floor
1655 Peachtree Street, NE.
Atlanta, Georgia 30309

(20) Region V
Room A-333
175 West Jackson Boulevard
Chicago, Illinois 60604

(22) Region VII
Twelve Grand Building
1150 Grand Avenue
Kansas City, Missouri 64106

(23) Region VII
P.O Box 26247, Belmar Branch
1075 South Yukon Street
Lakewood, Colorado 80226

(24) Region IX
Third Floor
111 Pine Street
San Francisco, California 94111

(25) Region X
1992 Federal Building
915 Second Avenue
Seattle, Washington 98174

(26) Richland Operations Office
P.O Box 550
Richland, Washington 99352

(27) Rocky Mountain District Office of Enforcement
(Denver (HQ), Casper)
P.O Box 26247, Belmar Branch
1075 South Yukon Street
Lakewood, Colorado 80226

(28) San Francisco Operations Office
1333 Broadway, Wells Fargo Building
Oakland, California 94616

(29) Savannah River Operations Office
P.O Box "A"
Aiken, South Carolina 29801

(30) Southeast District Office of Enforcement
(Atlanta (HQ), Birmingham, Louisville, Richmond)
8th Floor
1655 Peachtree Street, NE.
Atlanta, Georgia 30309

(31) Southeastern Power Administration
Samuel Elbert Building
P.O Box 3621
Portland, Oregon 97208

(32) Southwest District Office of Enforcement
(Dallas (HQ), Houston, New Orleans, San Antonio, Midland, Tulsa, Oklahoma City)
P.O. Box 35228
2626 West Mockingbird Lane
Dallas, Texas 75235

(33) Southwestern Power Administration
P.O. Box Drawer 1619
Tulsa, Oklahoma 74101

(34) Western District Office of Enforcement
(San Francisco (HQ), Los Angeles, Seattle)
111 Pine Street, Third floor
San Francisco, California 94111

(35) Western Area Power Administration
P.O. Box 3402
Golden, Colorado 8401

Appendix B

Additional Routine Uses

The following routine uses apply to and are incorporated by reference into each system of records as stated therein:

1. In the event that a record within this system of records maintained by this agency indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program pursuant thereto, the relevant records in the system of records may be referred as a routine use to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. A record from this system of records may be disclosed as a routine use to a Federal, State, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, such as current licenses, if necessary, to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

3. A record from this system of records may be disclosed, as a routine use, to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. A record from this system of records may be disclosed, as a routine use (a) to appropriate parties engaged in litigation or in preparation of possible litigation, such as potential witnesses, for the purpose of securing their testimony when necessary; (b) to courts, magistrates or administrative tribunals; (c) to parties and their attorneys for the purpose of proceeding with litigation or settlement of disputes; and (d) to individuals seeking information by using established discovery procedures, whether in connection with civil, criminal, or regulatory proceedings.

5. A record maintained by this agency to carry out its functions which relates to civil and criminal proceedings may be disclosed to the news media in accordance with guidelines contained in Department of Justice regulations 28 CFR 50.2.

6. A record maintained by this agency to carry out its functions may be disclosed to foreign governments in accordance with treaty obligations.

7. A record from this system of records may be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

8. A record from this system of records may be disclosed, as a routine use, to DOE contractors in performance of their contracts, and their officers and employees who have a need for the record in the performance of their duties subject to the same limitations applicable to DOE officers and employees under the Privacy Act.

9. A record in this system of records may be disclosed, as a routine use, to a member of Congress submitting a request involving the individual when the individual is a constitutent of the member and has requested assistance from the member with respect to the subject matter of the record.

10. A record in this system of records which contains medical and/or psychological information may be disclosed, as a routine use, to the physician or mental health professional of any individual submitting a request for access to the record under the Privacy Act of 1974 and DOE's Privacy Act regulations if, in its sole judgment and good faith, DOE believes that disclosure of the medical and/or psychological information directly to the individual who is the subject of the record could have an adverse effect upon that individual, in accordance with the provisions of 5 U.S.C. 552a(f)(3) and applicable DOE regulations.

FEDERAL ENERGY REGULATORY COMMISSION

Where the term "Commission" is used, it refers to the Federal Energy Regulatory Commission unless the term references records which date prior to October 1, 1977, in which case it refers to the Federal Power Commission.

FERC-1

System name: egulatory Evaluation And Docketed Information System (READI).

System location: The system is located at the Department of Energy's computer facilities, Washington, D.C. and Germantown and Rockville, Maryland, and as leased from Boeing Computer Services, McLean, Virginia.

Categories of individuals covered by the system: Department of Energy contact persons; Commissioners; Administrative Law Judges; attorneys; project managers; technical, environmental and other Commission staff personnel associated with cases before the Commission; parties of record; and parties to be advised of proceedings. With respect to information concerning these individuals, only their names, titles, business addresses, business telephone numbers, relationship to

a particular proceeding, and time expended by FERC personnel on that proceeding are entered.

Categories of records in the system: This system of records contains information regarding the stages a docketed proceeding passes through as it is reviewed by Commission personnel. The information in the system of records includes the names of the individuals indicated above, including the names of Commission personnel responsible for various processing stages of a proceeding. The system indicates which processing stage a proceeding has reached and which Commission personnel are presently assigned to a proceeding. A case-weighing function is used to facilitate allocation of manpower and assignments.

Authority for maintenance of the system: 15 U.S.C. section 717o; 16 U.S.C. section 825h; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The records and information in the records may be used by authorized Commission personnel to identify all docketed proceedings pending before the Commission; to indicate the current processing stage of a proceeding; to enable management to inventory proceedings by stage of processing; to identify staff personnel responsible for particular proceedings or parts of proceedings; to monitor and analyze the productivity of the Commission staff; to allocate manpower and make assignments; to identify the organizational unit responsible for a given proceeding; to identify general classes of proceedings in order to expedite their processing; and to produce management reports for agency-wide distribution, including responses to general requests for statistical information (without personal identifiers of individuals) under the Freedom of Information Act and responses to inquiries from members of Congress, other federal agencies, the press and the public. In addition, the system is used as a data source for management information, for production of summary statistics and analytical studies in support of the function for which these records are collected and maintained, or for related personnel management functions or manpower studies compiled by the staff or a contractor of the Commission; or by members of advisory committees created by the Commission or the Congress to render advice and recommendations to the Commission or the Congress. These uses are solely in connection with official designated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records of FERC–1 are maintained on magnetic tape, computer disk files and punch cards.

Retrievability: Records are retrieved by identifying elements (e.g., docket number, docket name, type of filing), by Commission staff members (e.g., Commissioner, Administrative Law Judge, attorney, etc.), applicant name, or applicant contact.

Safeguards: The records of FERC–1 are stored in a secured computer facility and access is limited to select authorized users.

Retention and disposal: The records are maintained for each proceeding in an "active file" until the proceeding has been terminated. The records are then transferred to a history file for permanent retention.

System manager(s) and address: Executive Director, Federal Energy Regulatory Commission, Room 9106, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All requests to determine whether this system contains a record pertaining to a requesting individual should be made in accordance with the Commission's Rules of Practice and Procedure, 18 CFR section 3b.220(a). Individuals should provide the appropriate identifying information as required by 18 CFR section 3b.220(b).

Record access procedures: Requests for access to records in this system should be made in accordance with 18 CFR section 3b.221. Individuals should provide the appropriate identifying information as specified in 18 CFR section 3b.222.

Contesting record procedures: Requests to amend records should be made in accordance with 18 CFR section 3b.224.

Record source categories: Records of FERC–1 are obtained through public filings with the Commission, individuals and persons covered by the records, and the Commission itself.

FERC–2

System name: Appeals, Grievances and Complaints Records—FERC.

System location: Office of the Executive Director, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Office of the General Counsel, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Office of the Assistant Director, Office of Electric Power Regulation, 400 First Street, N.W., Washington, D.C. 20426.

Categories of individuals covered by the system: Applicants for FERC employment, current and former FERC employees, and annuitants who appeal from a determination made by an official of the FERC or the Office of Personnel Management to the Office of Personnel Management, a board to adjudicate appeals, or to the FERC.

Categories of records in the system: As such, the system contains information and files on grievances under negotiated grievance systems and documents relating to a decision or determination made by the Commission or the Office of Personnel Management which affects an individual employee, or prospective employee because of an adverse action or other appeal under applicable Office of Personnel Management regulations, classification appeals, performance rating appeals, Fair Labor Standards Act complaints, grievances and complaints brought under the Equal Employment Opportunity Act. This system of records includes counseling records, case disposition reports of the Office of Personnel Management, intraoffice and interoffice communications, schedules, tabulations, lists, organizational charts which contain personal information, and records of relevant Federal court cases.

Authority for maintenance of the system: 15 U.S.C. section 717o; 16 U.S.C. section 825h; 42 U.S.C. section 7172(a)(2); and the applicable sections of Title 5 of the United States Code and the Office of Personnel Management regulations promulgated thereunder.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used to adjudicate the appeal, complaint, or grievance; to respond to a request from a Member of Congress regarding the status of an appeal, complaint, or grievance; to provide information to the public on the decision of an appeal, complaint, or grievance as required by the Freedom of Information Act; to disclose to a Federal, State or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information if necessary in order to obtain information relevant to an FERC decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract or the issuance of a license, grant, or other benefit; to disclose relevant information to a Federal agency in response to requests involving the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or issuance of a license, grant or other benefit by the requesting agency; to serve as a data source for disciplining the individual or other FERC employee in the event that this record system indicates a violation of law, executive order or regulation; as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies compiled by the staff or contractor of the Commission. The system is also used by the Office of Personnel Management or the General Accounting Office as a data source during the course of onsite inspections or audits of Commission operations. The disclosure (of information) may be made to a member of Congress from the record of an individual in response to a written request from the Member which is made at the request of the individual who is the subject of the record. In the event that a system of records maintained by the FERC to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system or records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders, binders, and index cards.

Retrievability: These records are indexed by the name of individuals.

Safeguards: The records are maintained in metal file cabinets with manipulation-proof combination locks. Access to these files and combinations is limited to those whose official duties require access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: After a final decision on a particular case is reached by the Commission or other decisional authority, all records pertaining to that case are maintained in the Office of Executive Director as a closed file. If a Commission decision is not appealed to the Office of Personnel Management or other appropriate appeal board, the records are maintained for no more than two years and are transferred to the National Personnel Records Center, St. Louis, Missouri, where they are retained for at least seven years. Commission Equal Employment Opportunity Counselors maintain for one year case records which have not been a basis of an EEO complaint. The disposition of these records is handled pursuant to applicable GSA regulations and applicable internal administrative directives.

System manager(s) and address: Office of the Executive Director, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All requests to determine whether this system contains a record pertaining to a requesting individual should be made in accordance with the Commission's Rules of Practice and Procedure, 18 CFR section 3b.220(a). Individuals should provide the appropriate identifying information as required by 18 CFR section 3b.220(b).

Record access procedures: Requests for access to records in this system should be made in accordance with 18 CFR section 3b.221. Individuals should provide the appropriate identifying information as specified in 18 CFR section 3b.222.

Contesting record procedures: Requests to amend records should be made in accordane with 18 CFR section 3b.224.

Record source categories: Individuals to whom the record pertains; Federal Energy Regulatory Commission and Office of Personnel Management officials; affidavits or statements from individual; testimony of witnesses; official documents relating to the appeal, grievance, or complaint; correspondence from special organizations or persons.

FERC–3

Storage: plications for Interlocking Directorates, Public Files.

System location: Office of Management Services, Office of the Executive Director, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Lansburgh's Warehouse, Office of Management Services, Office of the Executive Director, Federal Energy Regulatory Commission, 410 8th Street, N.E., Washington, D.C. 20426.

Division of Rates and Corporate Regulation, Office of Electric Power Regulation, Federal Energy Regulatory Commission, 400 First Street, N.W., Washington, D.C. 20426.

Categories of individuals covered by the system: Officers and directors of related public utilities who, in accordance with Section 305(b) of the Federal Power Act; 16 U.S.C. section 825d(b), file for permission to hold the position of officer or director of more than one public utility, of a public utility and certain financial institutions authorized to market public utility securities, and a company supplying each utility with electrical equipment.

Categories of records in the system: This system of records includes the following information for each individual: the name of the applicant; the docket number of the application; the position applied for; the date of the application and a copy of the application; the date of the public notice of the application and a copy of that notice; the date and copy of the order granting or deny the application; the date of any relevant hearing; and a copy of any petitions to intervene.

Authority for maintenance of the system: 16 U.S.C. section 825d(b); 16 U.S.C. section 825h; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used as a file by staff of the Commission whose official duties involve the decision of whether to grant the application. The file is also used as a record of such proceedings. The records are available to the general public pursuant to the Freedom of Information Act, 5 U.S.C. section 552, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders on shelves.

Retrievability: These records are filed by docket number and are cross-referenced by the name of the individual whose application is involved.

Safeguards: No measures are taken to prevent disclosure. The system contains only information available to the public.

Retention and disposal: These records are maintained for one year after the applicant dies or ten years after notice of termination of his authorization. The disposition of these records is handled pursuant to applicable GSA regulations and/or applicable internal administrative directives.

System manager(s) and address: Office of Management Services, Office of the Executive Director, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record access procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Contesting record procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record source categories: Individuals on whom the records are maintained and the staff of the Commission.

FERC–4

System name: Applications for Interlocking Directorates, Security Files-FERC.

System location: Office of Management Services, Office of the Executive Director, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Division of Rates and Corporate Regulation, Office of Electric Power Regulation, Federal Energy Regulatory Commission, 400 First Street, N.W., Washington, D.C. 20426.

Categories of individuals covered by the system: Officers and directors of regulated public utilities who, in accordance with Section 305(b) of the Federal Power Act, 16 U.S.C. Section 825d(b), file for permission to hold the position of officer or director of more than one public utility, of a public utility and certain financial institutions authorized to market public utility securities, or of a public utility and a company supplying such utility with electrical equipment.

Categories of records in the system: This system of records includes the following information for each individual: a copy of the application for an interlocking directorate, a copy of any Commission order granting or denying the application, a copy of the FERC staff recommendation, and other supplementary information prepared by Commission staff, if applicable.

Authority for maintenance of the system: 16 U.S.C. section 825d(b); 16 U.S.C. section 825h; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used as a working file by the staff of the Commission whose official duties require access in assisting the Commission in determining whether to grant the application. It is used as a record of such proceedings. In the event that a system of records maintained by the Commission to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders in metal file cabinets in a secured room.

Retrievability: These records are indexed by the names of individuals on whom they are maintained.

Safeguards: Access to, and use of, these records is limited to those persons whose official duties require such access. Personnel screening of these individuals is employed to minimize unauthorized disclosure and an accounting is made of removal of the records from the storage area.

Retention and disposal: These records are maintained for one year after the applicant dies or ten year after notice of termination of his or her authorization. The disposition is handled pursuant to applicable GSA regulations and/or applicable internal administrative directives.

System manager(s) and address: Division of Rates and Corporate Regulation, Office of Electric Power Regulation, Federal Energy Regulatory Commission, 400 First Street, N.W., Washington, D.C. 20426.

Notification procedure: All requests to determine whether this system contains a record pertaining to a requesting individual should be made in accordance with the Commission's Rules of Practice and Procedure, 18 CFR section 3b.220(a). Individuals should provide the appropriate identifying information as required by 18 CFR section 3b.220(b).

Record access procedures: Requests for access to records in this system should be made in accordance with 18 CFR section 3b.221. Individuals should provide the appropriate identifying information as specified in 18 CFR section 3b.222.

Contesting record procedures: Requests to amend records should be made in accordance with 18 CFR section 3b.224.

Record source categories: Individuals to whom the records pertain and staff of the Commission.

FERC–5

Retrievability: ographical Material on Chairmen, Vice Chairmen and Commissioners—FERC.

System location: Office of the Secretary, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Categories of individuals covered by the system: All past and present Commissioners and Chairman of the Federal Energy Regulatory Commission.

Categories of records in the system: This system of records contains, where applicable, the following information on each individual: name, date nominated, date confirmed, date of designation, date of oath of office, term of office, home state, political affiliation, date first in attendance at a Commission meeting, date of expiration of term, date of resignation, and date deceased.

Authority for maintenance of the system: 15 U.S.C. section 717o; 16 U.S.C. section 825h; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are used by the staff of the Commission whose official duties require access to such information and the records are available to the general public pursuant to the Freedom of Information Act, 5 U.S.C. section 552.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained in file folders and in 3-ring binders in a metal file cabinet.

Retrievability: These records are indexed by the names of the individuals on whom they are maintained.

Safeguards: No means are taken to prevent disclosure. The system contains only information available to the public.

Retention and disposal: These records are retained indefinitely and are updated periodically.

System manager(s) and address: Office of the Secretary, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record access procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Contesting record procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record source categories: Official White House releases; newspapers; minutes of Commission meetings; and the personnel on whom the records are maintained.

FERC–6

Retrievability: ographical Material on Commissioners and Key Staff Members-FERC.

System location: Division of Public Information, Office of Congressional and Public Affairs, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Categories of individuals covered by the system: Commissioners and key staff members currently or formerly employed by the Commission.

Categories of records in the system: This system of records contains biographical material on Commissioners and key staff members of the Commission including: date and place of birth, marital status, number of children, educational background, past work experience, honors or awards, published materials, and military experience and honors.

Authority for maintenance of the system: 15 U.S.C. section 717o; 16 U.S.C. section 825h; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are used by authorized Commission personnel whose official duties require access in preparation of news releases to announce appointments of Commissioners and key staff members or promotions of key staff members, and are available to the general public pursuant to the Freedom of Information Act, 5 U.S.C. 552.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in folders in file cabinets.

Retrievability: These records are indexed by the names of the individuals on whom they are maintained.

Safeguards: No measures are taken to prevent disclosure. The system contains only information available to the public.

Retention and disposal: These records are maintained indefinitely and updated periodically. Their disposition is handled pursuant to applicable GSA regulations and/or applicable internal administrative directives.

System manager(s) and address: Division of Public Information, Office of Congressional and Public Affairs, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record access procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Contesting record procedures: All inquiries and requests relating to this sytem of records should be addressed to the system manager of the system.

Record source categories: Individuals on whom the records are maintained.

FERC–7

Safeguards: ngressional Correspondence Files-FERC.

System location: Office of Electric Power Regulation, Federal Energy Regulatory Commission, 400 First Street, N.W., Washington, D.C. 20426.

Categories of individuals covered by the system: Those members of the United States Congress who have corresponded with the Commission and who solicit data from the Office of Electric Power Regulation.

Categories of records in the system: This system of records contains incoming correspondence from United States Congressmen referred to the Office of Electric Power Regulation with the Commission's replies.

Authority for maintenance of the system: 16 U.S.C. section 825h; 15 U.S.C. section 717o; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are maintained for use by the staff of the Commission whose official duties require record access. They are used to assure a complete record of correspondence by the Commission with Congress relating to Office of Electric Power Regulation matters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in folders in file cabinets.

Retrievability: These records are indexed by the names of corresponding Congressmen.

Safeguards: Access to the files is limited as required by the Privacy Act to the Commission staff who maintain these files.

Retention and disposal: These records are maintained indefinitely until the system manager determines that their usefulness to the Commission has ceased. Their disposition is handled pursuant to applicable GSA regulations and applicable internal Administrative directives.

System manager(s) and address: Office of the Director, Office of Electric Power Regulation, Federal Energy Regulatory Commission, 400 Forst Street, N.W., Washington, D.C. 20426.

Notification procedure: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record access procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Contesting record procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record source categories: Corresponding Congressmen and Commission Staff who draft replies.

FERC-8

Safeguards: ngressional Correspondence Files, Office of the Executive Director-FERC.

System location: Office of Management Services, Office of the Executive Director, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Categories of individuals covered by the system: Those current members of the United States Congress who have corresponded with the Commission.

Categories of records in the system: This system of records contains the incoming correspondence from United States Congressmen with Commission replies.

Authority for maintenance of the system: 15 U.S.C. section 717o; 16 U.S.C. section 825h; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are maintained for use by the staff of the Commission whose official duties require access to them.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders in metal file cabinets.

Retrievability: These records are indexed by the names of the corresponding Congressmen.

Safeguards: Access to the files is limited as required by the Privacy Act to the Commission staff who maintain these files.

Retention and disposal: These records are maintained for the length of time the corresponding Congressmen remain in office. The disposition of these records is handled pursuant to applicable GSA regulations and any applicable internal administraive directives.

System manager(s) and address: Office of Management Services, Office of the Executive Director, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record access procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Contesting record procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record source categories: Corresponding Congressmen and Commission staff who draft replies.

FERC-9

Safeguards: rrespondence File—Office of Pipeline and Producer Regulation—FERC.

System location: Office of the Chief, Program Planning and Administrative Staff, Office of Pipeline and Producer Regulation, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Categories of individuals covered by the system: Members of Congress and other individuals who have received correspondence drafted by the staff of the Commission's Communications and Administrative Branch, Program Planning and Administrative Staff.

Categories of records in the system: This file contains copies of incoming inquiries and outgoing replies drafted by the staff of the Commission's Communications and Administrative Branch.

Authority for maintenance of the system: 15 U.S.C. section 717o; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are maintained for use by the staff of the Commission whose official duties require access to the records. They are used to assure a complete record of correspondence by the Commission relating to Office of Pipeline and Producer Regulation matters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in notebook binders in shelving units.

Retrievability: These records are indexed by the names of the individuals who have received responses from the Commission.

Safeguards: Access to the files is limited as required by the Privacy Act to the Commission staff who maintain these files.

Retention and disposal: These records are maintained for two years and their disposition is handled pursuant to applicable GSA regulations and applicable internal administrative directives.

System manager(s) and address: Chief, Communications and Administrative Branch, Office of Pipeline Producer Regulation, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record access procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Contesting record procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record source categories: Staff of the Commission and correspondents.

FERC-10

System name: mployee Conduct Records—FERC.

System location: Office of the General Counsel, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Categories of individuals covered by the system: Current and former members of the Commission, applicants for Commission employment, current and former employees of the Commission, current and former special employees of the Commission.

Categories of records in the system: The records of the system contain a variety of information required by the reporting and enforcement provisions of the Commission's Standards of Conduct. The records may include: debt complaints; reports of misconduct; interpretation and advisory services; determinations of prohibited employment, financial interests, or activities and orders relating to the individual; limitations on work assignments due to requirements of the Standards of Conduct; other corrective or disciplinary actions based on violations of the Standards of Conduct; data documenting the reasons for actions or decisions affecting the individual; and other related information.

Authority for maintenance of the system: 15 U.S.C. Section 717o; 16 U.S.C. section 825h; 42 U.S.C. section 7172 (a)(2); 44 U.S.C. section 3101; E.O. 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The contents of these records and files may be used as follows: by the Commission and/or Office of Personnel Management in connection with counseling the individual, evaluating the individual's employment, financial interests, and other activities, and taking appropriate action to ensure compliance with the Commission's Standards of Conduct; by the Office of Personnel Management or the General Accounting Office as a data source during the course of on-site inspections or audits of Commission operations; to disclose to a Federal, state, or local agency maintaining civil, criminal, or othe relevant enforcement information or other pertinent information if necessary in order to obtain information relevant to an FERC decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit; to disclose to a Federal, state, or local agency in response to requests involving the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter; to serve as a data source for disciplining the individual or other FERC employee in the event that this record system indicates a violation or potential violation of law, executive order, or regulation; by authorized Commission officials and contractors, as a data

source for management information, for the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; in response to inquiries of Congress made at the request of the individual who is the subject of the record; and in the event that a system of records maintained by the Commission to carry out its functions indicators a violation or potential violation of law, whether civial, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in folders, index cards, and in metal file cabinets with manipulation-proof combination locks.

Retrievability: Records are indexed by the names of the individuals on whom they are maintained.

Safeguards: Access to, and use of, these records is limited to persons who official duties require such access. Personnel screening is employed to minimize unauthorized disclosure.

Retention and disposal: Within 15 days after an individual leaves the major organizational unit to which he or she is assigned, the records pertaining to that individual which have been maintained are transferred to the Office of Personnel Programs for review and consolidation with official records. Official records are disposed of two years after separation of the employee or five years upon approval of the Office of Personnel Management pursuant to applicable GSA regulations and applicable internal administrative directives.

System manager(s) and address: Office of the General Counsel, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All requests to determine whether this system contains a record pertaining to a requesting individual should be made in accordance with the Commission's Rules of Practice and Procedure, 18 CFR Section 3b.220(a). Individuals should provide the appropriate identifying information as required by 18 CFR Section 3b.220(b).

Record access procedures: Requests for access to records in this system should be made in accordance with 18 CFR Section 3b.221. Individuals should provide the appropriate identifying information as specified in 18 CFR Section 3b.222.

Contesting record procedures: Requests to amend records should be made in accordance with 18 CFR Section 3b.224.

Record source categories: Information contained in this system is obtained from the individual on whom the record is maintained or derived from information which he or she supplied; and from Commission officials.

FERC-11

System name: ailing List for Information Concerning Applications for Interlocking Directorates—FERC.

System location: Registry and Service Branch, Office of the Secretary, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426

Categories of individuals covered by the system: Parties interested in applications for interlocking directorates under the Federal Power Act.

Categories of records in the system: This system of records includes the name and address of each individual who receives information concerning interlocking directorate applications to the Commission.

Authority for maintenance of the system: 16 U.S.C. Section 825h; 42 U.S.C. Section 7172(a)(2); 44 U.S.C. Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are used by the staff of the Commission whose official duties require access to them.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained on index cards in a metal index card cabinet.

Retrievability: These records are filed by docket number and are cross-referenced by the name of the individual on whom they are maintained.

Safeguards: Access to the files is limited as required by the Privacy Act to the Commision staff who maintain these files.

Retention and disposal: These records are maintained indefinitely and are periodically updated.

System manager(s) and address: Registry and Service Branch, Office of the Secretary, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record access procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Contesting record procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record source categories: Individuals on whom the records are maintained.

FERC-12

System name: Mailing List for Official Publications—FERC.

System location: Registry and Service Branch, Office of the Secretary, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Categories of individuals covered by the system: Officials of privately and publicly owned utilities, independent producers, cooperatives, and licenses and others who, upon request, receive official documents of the Commission, including rulemakings, notices, orders, opinions, etc.

Categories of records in the system: This system of records contains the name and address of each individual who receives official Commission publications.

Authority for maintenance of the system: 15 U.S.C. section 717o; 16 U.S.C. section 825h; 42 U.S.C. section 7172(a)(2); 44 U.S.C. section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are used by the staff of the Commission whose official duties require access in order to mail documents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained on Cheshire Cards (IBM-type cards), processed from Cheshire addressograph equipment, and are stored in metal file cabinets.

Retrievability: These records are indexed by the names of the individuals on whom they are maintained.

Safeguards: Access to the files is limited as required by the Privacy Act to the Commission staff who maintain these files.

Retention and disposal: The records are maintained indefinitely and are periodically updated.

System manager(s) and address: Registry and Service Branch, Office of the Secretary, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Notification procedure: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record access procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Contesting record procedures: All inquiries and requests relating to this system of records should be addressed to the system manager of the system.

Record source categories: Individuals on whom the records are maintained.

Title 10-Energy

Chapter X-Department of Energy

PART 1008—RECORDS MAINTAINED ON INDIVIDUALS (PRIVACY ACT)

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Authority: Department of Energy Organization Act, Pub. L. 95–91, Executive Order 12091, 42 FR 46267, Privacy Act of 1974, Pub. L. 93–579 (5 U.S.C. 552a).

Source: 45 FR 61577, Sept. 16, 1980, unless otherwise noted.

Subpart A—General Provisions

§ 1008.1 Purpose and scope.

(a) This part establishes the procedures to implement the Privacy Act of 1974 (Pub. L. 93–579, 5 U.S.C. 552a) within the Department of Energy.

(b) This part applies to all systems of records, as defined in § 1008.2(m), maintained by DOE.

(c) This part applies to all divisions within the DOE, and to the personnel records of the Federal Energy Regulatory Commission (FERC), which are maintained by DOE on behalf of FERC. These regulations do not apply to other systems of records maintained by FERC. These regulations also apply to DOE contractors and their employees to the extent required by 5 U.S.C. 552a(m).

§ 1008.2 Definitions.

(a) "Department" or "Department of Energy (DOE)" means all organizational entities which are a part of the executive department created by Title II of the Department of Energy Organization Act, Pub. L. 95–91, except the Federal Energy Regulatory Commission (FERC).

(b) "Director, Office of Hearings and Appeals" means the Director or his delegate.

(c) "DOE locations" means each of the following DOE components:

(1) Alaska Power Administration, P.O. Box 50, Juneau, AK 88801.

(2) Albuquerque Operations Office, P.O. Box 5400, Albuquerque, NM 87115.

Note.—This office has cognizance over the following area offices: Amarillo, Dayton, Kansas City, Los Alamos, Pinellas, Rocky Flats and Sanria.

(3) Bartlesville Energy Technology Center, P.O. Box 1398, Bartlesville, OK 74003.

(4) Bonneville Power Administration, P.O. Box 3621, Portland, OR 97208.

(5) Chicago Operations Office, 9800 South Cass Avenue, Argonne, IL 60439.

Note.—This office has cognizance over the Batvia and Brookhaven area offices and the New Brunswick laboratory.

(6) Grand Forks Energy Technology Center, P.O. Box 8213, University Station, Grand Forks, ND 58201.

(7) Grand Junction Office, P.O. Box 2567, Grand Junction, CO 81502.

(8) Headquarters, Department of Energy, 1000 Independence Avenue, SW., Washington, DC 20585.

(9) Idaho Operations Office, 550 Second Street, Idaho Falls, ID 83401.

(10) Laramie Energy Technology Center, P.O. Box 3395, University Station, Laramie, WY 82070.

(11) Morgantown Energy Technology Center, P.O. Box 880, Morgantown, WV 26505.

(12) Nevada Operations Office, P.O. Box 14100, Las Vegas, NV 89114.

(13) Oak Ridge Operations Office, P.O. Box E, Oak Ridge, TN 37830.

(14) Oak Ridge Technical Information Center, P.O. Box 62, Oak Ridge, TN 37830.

(15) Pittsburgh Energy Technology Center, 4800 Forbes Avenue, Pittsburgh, PA 15213.

(16) Region I, Analex Building, Room 700, 150 Causeway Street, Boston, MA 02114.

(17) Region II, 26 Federal Plaza, Room 3206, New York, NY 10007.

(18) Region III, 1421 Cherry Street, 10th Floor, Philadelphia, PA 19102.

(19) Region IV, 1655 Peachtree Street, NE., 8th Floor, Atlanta, GA 30309.

(20) Region V, 175 West Jackson Boulevard, Room A–333, Chicago, IL 60604.

(21) Region VI, P.O. Box 35228, 2626 West Mockingbird Lane, Dallas, TX 75235.

(22) Region VII, Twelve Grand Building, 1150 Grand Avenue, Kansas City, MO 64106.

(23) Region VIII, P.O. Box 26247—Belmar Branch, 1075 South Yukon Street, Lakewood, CO 80226.

(24) Region IX, 111 Pine Street, Third Floor, San Francisco, CA 94111.

(25) Region X, 1992 Federal Building, 915 Second Avenue, Seattle, WA 98174.

(26) Richland Operations Office, P.O. Box 550, Richland, WA 99352.

(27) San Francisco Operations Office, 1333 Broadway, Wells Fargo Building, Oakland, CA 94612.

(28) Savannah River Operations Office, P.O. Box "A," Aiken, SC 29801.

(29) Southeastern Power Administration, Elberton, GA 30635.

(30) Southwestern Power Administration, P.O. Drawer 619, Tulsa, OK 74101.

(31) Western Area Power Administration, P.O. Box 3402, Golden, CO 80401.

(d) "General Counsel" means the General Counsel provided for in Section 202(b) of the Department of Energy Organization Act, or any DOE attorney designated by the General Counsel.

(e) "Headquarters" means all DOE facilities functioning within the Washington, D.C. metropolitan area.

(f) "Individual" means a citizen of the United States or an alien lawfully admitted for permanent residence, but does not include proprietorships, businesses, or corporations. Where appropriate, the term "individual" also includes a duly authorized representative of an individual.

(g) "Maintain" means maintain, collect, use, or disseminate.

(h) "Privacy Act Officer" means the person designated by the Director, Office of Administration, as responsible for administering the DOE's program for implementing the requirements of the Privacy Act of 1974 at the DOE locations listed at § 1008.2(c).

(i) "Record" means any item, collection, or grouping of information about an individual that is maintained by or for the DOE including, but not limited, to education, financial transactions, medical history, and criminal or employment history, and that contains that individual's name, or other identifying number, symbol, or other identifying particulars assigned to the individual, such as a finger or voice print or photograph. See subsection (a)(4) of the Act.

(j) "Routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected. See subsection (a)(7) of the Act.

(k) "Statistical record" means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual, except as provided by 13 U.S.C. section 8. See subsection (a)(6) of the Act.

(l) "System Manager" means the DOE official who is responsible for a system of records as designated in the system notice of that system of records published by DOE.

(m) "System of records" means a group of any records under DOE control from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particulars assigned to the individual. See subsection (a)(5) of the Act.

(n) "Act" means the Privacy Act of 1974, Pub. L. 93–579; references to subsections of the Act mean subsections of section 3 of the Act.

§ 1008.3 Employee standards of conduct with regard to privacy.

(a) The Headquarters DOE Privacy Act Officer shall assure that DOE personnel are advised of the provisions of the Privacy Act, including the criminal penalties and civil liabilities provided therein, (subsections (g) and (i) of the Act), and that DOE personnel are made aware of their responsibilities: to protect the security of personal information to assure its accuracy, relevance, timeliness and completeness; to avoid unauthorized disclosure; and to insure that no system of records concerning individuals, no matter how insignificant or specialized, is maintained without public notice.

(b) DOE personnel shall:

(1) Collect or maintain no information of a personal nature about individuals unless relevant and necessary to achieve a purpose or carry out a responsibility of the DOE as required by statute or by Executive Order. See subsection (e)(1) of the Act and § 1008.18(a).

(2) Collect information, wherever possible, directly from the individual to whom it pertains. See subsection (e)(2) of the Act and § 1009.19(a).

(3) Inform individuals from whom information is collected of the authority for collection, the principal purposes for which the information will be used, the routine uses that will be made of the information, and the effects of not furnishing the information. See subsection (e)(3) of the Act and § 1008.19(b).

(4) Collect, maintain, use or disseminate no information concerning an individual's rights guaranteed by the First Amendment, unless (i) the individual has volunteered such; or (ii) the information is expressly authorized by statute to be collected, maintained, used or disseminated; or (iii) the activities involved are pertinent to and within the scope of an authorized law enforcement activity. See subsection (e)(7) of the Act and § 1008.18(b).

(5) Advise their supervisors of the existence or proposal of any system of records which retrieves information about individuals by the individual's name or other identifying number, symbol, or identifying particulars assigned to the individual.

(6) Maintain an accounting, in the prescribed form, of all disclosures of information other than those to officers or employees who have a need for the record in the performance of their duties and those required under the Freedom of Information Act. See subsection (c) of the Act.

(7) Disclose no records other than to DOE personnel without the advance written consent of the individual, except as authorized by 5 U.S.C. 552a(b) including routine uses published in the **Federal Register**.

(8) Maintain and process information concerning individuals with care to insure that no inadvertent disclosure of the information is made. See subsection (e)(10) of the Act.

(9) Inform the proper DOE authorities of any information maintained in a DOE system of records which is not authorized by the Privacy Act of 1974.

(c) Heads of Headquarters Divisions and Offices and heads of the other DOE locations shall review annually the systems of records subject to their responsibility to insure compliance with the requirements of the Privacy Act of 1974.

§ 1008.4 Procedures for identifying the individual making a request for access to or amendment of records.

(a) When a request for information about or for access to or correction of a record pertaining to an individual and contained in a system of records has been made pursuant to § 1008.6, valid identification of the individual making the request shall be required before information will be given, access granted or a correction considered, to insure that information is given, corrected, or records disclosed or corrected only at the request of the proper person.

(b) Subject to paragraphs (c) and (d) of this section, an individual making a request may establish his identity by:

(1) Including with his request, if submitted by mail, a photocopy of two identifying documents bearing his name and signature, one of which shall bear his current home or business address and date of birth; or

(2) Appearing at the appropriate DOE location during the regular business hours and presenting either of the following:

(i) One identifying document bearing the individual's photograph and signature, such as a driver's license or passport; or

(ii) Two identifying documents bearing the individual's name and signature, one of which shall bear the individual's current home or business address and date of birth; or

(3) Providing such other proof of identity as the Privacy Act Officer deems satisfactory in the circumstances of a particular request.

(c) If the Privacy Act Officer or the appropriate System Manager determines that the information in a record is so sensitive that unauthorized access could cause harm or embarrassment to the individual whose record in involved, or if the individual making the request is unable to produce satisfactory evidence of identity under paragraph (b) or (d) of this section, the individual making the request may be required to submit a notarized statement attesting to his identity and his understanding of the criminal penalties provided under section 1001 of Title 18 of the United States Code for making false statements to a Government agency and under subsection (i)(3) of the Act for obtaining records under false pretenses. Copies of these statutory provisions and forms of such notarized statements may be obtained upon request from the Privacy Act Officer, Headquarters, Department of Energy, Washington, D.C.

(d) When an individual acting as the parent of a minor or the legal guardian of the person to whom a record pertains makes a request pursuant to § 1008.6 of this part—

(1) Such an individual shall establish his personal identity in the same manner required in either paragraph (b) or (c) of this section.

(2) In addition, such an individual shall establish his identity in the representative capacity of parent or legal guardian. In the case of the parent of a minor, the proof of identity shall be a certified or authenticated copy of the minor's birth certificate. In the case of the legal guardian of a person who has been declared incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, the proof of identity shall be a certified or authenticated copy of the order from a court of competent jurisdiction.

(3) A parent or legal guardian may act only for a living individual, not for a decedent. Requests for the records of decedents will be handled under the Freedom of Information Act (5 U.S.C. 552).

§ 1008.5 Effect of the Freedom of Information Act (FOIA).

(a) DOE shall not rely on any exemption contained in the Freedom of Information Act (5 U.S.C. 552) to withhold from the individual to whom it pertains, any record which is otherwise accessible to such individual under this part.

(b) DOE shall rely on subsection (b) of the Privacy Act to withhold information from a person other than the person to whom the record pertains only when the information is also exempt from disclosure under the FOIA.

(c) Where a request for access to records is submitted pursuant to both the FOIA and the Privacy Act, the DOE shall, to the maximum extent possible, process the request under the provisions of this part, including the time limits of this part.

Subpart B—Requests for Access or Amendment

§ 1008.6 Procedures for Privacy Act requests.

(a) Any individual may—

(1) Ask the DOE whether a system of records maintained by the DOE contains records about him or her;

(2) Request access to information pertaining to him or her that is maintained in a DOE system of records;

(3) Request that information about him or her in a DOE system of records be amended or corrected. Requests for correction or amendment may include inquiries concerning—

(i) whether such information is relevant or necessary to accomplish a purpose that DOE is required to accomplish by statute or Executive Order; or

(ii) if the information is to be used by the DOE in making a determination about the individual, whether the information is as accurate, relevant, timely, or complete as is reasonably necessary to assure fairness in the determination.

(b) Requests submitted pursuant to this section shall—

(1) Be in writing and signed by the individual making the request;

(2) State that the request is a "Privacy Act Access" or "Privacy Act Amendment" request;

(3) Include the identification information required by § 1008.4;

(4) Specify, if possible, the title and identifying number of the system of records as listed in DOE's published notices of system of records;

(5) Provide if possible any additional information to aid DOE in responding to the request, for example, a description of the records sought;

(6) Indicate, as appropriate, the time, place, and form of access sought.

(c) Any request not addressed and marked as specified in paragraph (a) of this section shall be forwarded immediately to the appropriate Privacy Act Officer. An improperly addressed request will not be deemed to have been received for purposes of measuring time periods pursuant to §§ 1008.7 and 1008.10 until actual receipt by the appropriate Privacy Act Officer. The individual making the request shall be notified that the request was improperly addressed and the date when the request was received by the Privacy Act Officer.

(d) Assistance in preparing an access request pursuant to this section may be obtained from any DOE Privacy Act Officer at the locations listed at § 1008.2(e).

(e) An individual shall not be required to state a reason or otherwise justify his request for information or access to a record pertaining to him/her that is contained in a system of records.

§ 1008.7 Processing of requests.

(a) Receipt of a request made in accordance with § 1008.6 shall be promptly acknowledged by the Privacy Act Officer.

(b) Each request shall be acted upon promptly. Every effort will be made to respond within ten working days of the date of receipt by the System Manager or designee. If a response cannot be made within ten working days, the appropriate Privacy Act Officer shall send an interim response providing information on the status of the request, including an estimate of the time within which action is expected to be taken on the request and asking for any further information as may be necessary to respond to the request. Action will be completed as soon as possible, but not later than 20 working days after receipt of the original specific inquiry. In unusual circumstances and for good cause, the appropriate Privacy Act Officer may decide that action cannot be completed within the initial 20 working days. In such case, the appropriate Privacy Act Officer will advise the individual of the reason for the delay and the date (not to exceed an additional 20 working days) by which action can be expected to be completed.

(c) The term "unusual circumstances" as used in this section includes situations where a search for requested records from inactive storage is necessary; cases where a voluminous amount of data is involved; instances where information on other individuals must be separated or expunged from the particular record; and cases where consultation with other agencies which have substantial interest in the response to the request is necessary.

(d) Upon receiving a request, the Privacy Act Officer shall ascertain which System Manager or Managers of the DOE have primary responsibility for, custody of, or concern with the system or systems of records subject to the request and shall forward the request to such System Manager or Managers. The System Manager or Managers shall promptly identify and, in consultation with the General Counsel, review the records encompassed by the request.

(e) Where the request is for access to or information about records, after reviewing the material the System Manager or Managers concerned shall transmit to the Privacy Act Officer the requested material. The transmission to the Privacy Act Officer shall include any recommendation that the request be granted or wholly or partially denied and shall set forth any exemption categories supporting denials. Any denial recommendation must be concurred in by the appropriate General Counsel.

(f) Where the request is for correction or amendment of records, after reviewing the material the System Manager or Managers shall transmit a recommended decision to the Privacy Act Officer. Any recommendation that the request be granted or wholly or partially denied shall cite the exemption relied on and set forth the policy considerations supporting a denial. Any recommendation of denial must be concurred in by General Counsel.

§ 1008.8 Action in response to a request for access: disclosure of requested information to subject individuals.

(a) Consistent with the recommendation of the System Manager and the concurrence of the appropriate General Counsel, the Privacy Act Officer shall provide to the requesting individual the information about or access to a record or information pertaining to the individual contained in a system of records, unless the request is being denied in accordance with § 1008.9 of this part. The Privacy Act Officer shall notify the individual of such determination and provide the following information:

(1) Whether there is information or a record pertaining to him that is contained in a system of records;

(2) The methods of access as set forth in paragraph (b) of this section;

(3) The place at which the record or information may be inspected;

(4) The earliest date on which the record or information may be inspected and the period of time that the record or information will remain available for inspection. In no event shall the earliest date be later than thirty calendar days from the date of notification.

(5) An indication that copies of the records are enclosed, or the estimated date by which a copy of the record could be mailed and the estimate of fees that would be charged to provide other than the first copy of the record, pursuant to § 1008.13.

(6) The fact that the individual, if he wishes, may be accompanied by another person during the in-person review of the record or information, provided that the individual shall first furnish to the Privacy Act Officer a written statement authorizing disclosure of that individual's record in the accompanying person's presence; and

(7) Any additional requirements that must be satisfied in order to provide information about or to grant access to the requested record or information.

(b) The following methods of access to records or information pertaining to an individual and contained in a system of records may be available to that individual depending on the circumstances of a particular request:

(1) A copy of the record may be enclosed with the initial response in accordance with paragraph (a) of this section;

(2) Inspection in person may be arranged during the regular business hours of the DOE in the office specified by the Privacy Act Officer;

(3) Transfer of records to a Federal facility more convenient to the individual may be arranged, but only if the Privacy Act Officer determines that a suitable facility is available, that the individual's access can be properly supervised at that facility, and that transmittal of the records or information to that facility will not unduly interfere with operations of the DOE or involve unreasonable costs, in terms of money or manpower; and

(4) The requested number of copies in addition to the initial copy may be mailed at the request of the individual, subject to payment of the fees prescribed in § 1008.13.

(c) If the Privacy Act Officer believes, based upon a recommendation of the System Manager and the agency's medical officer, that disclosure of medical and/or psychological information directly to an individual could have an adverse effect upon that individual, the individual may be asked:

(1) To designate in writing a physician or mental health professional to whom he would like the records to be disclosed; or

(2) To submit a signed statement by his physician or a mental health professional indicating that, in his view, disclosure of the requested records or information directly to the individual will not have an adverse effect upon the individual. If the individual refuses to designate a physician or mental health professional, or to submit a signed statement from his physician or mental health professional as provided in paragraph (c) (1) and (2) of this section, the request will be considered denied, and the appeal rights provided in § 1008.11 will be available to the individual.

(d) The Privacy Act Officer shall supply such other information and assistance at the time of an individual's review of his record as is necessary to make the record intelligible to the individual.

(e) The DOE will, as required by subsection (d)(1), assure an individual's right "to review his or her record and have a copy made of all or any portion thereof in a form comprehensible to him." However, original records will be made available to individuals only under the supervision of the Privacy Act Officer or his designee. Individuals will be provided at their request with a copy, but not the original, of records pertaining to them.

§ 1008.9 Action in response to a request for access: initial denial of access.

(a) A request by an individual for information about or access to a record or information pertaining to that individual that is contained in a system of records may be denied only upon a determination by the appropriate System Manager, with the concurrence of the appropriate General Counsel, that:

(1) The record is subject to an exemption under § 1008.12;

(2) The record is information compiled in reasonable anticipation of a civil action or proceeding; or

(3) The individual has unreasonably failed to comply with the procedural requirements of this part.

(b) The Privacy Act Officer shall give written notice of the denial of a request of information about or access to records or information pertaining to the individual and contained in a system of records. Such written notice shall be sent by certified or registered mail, return receipt requested and shall include the following information:

(1) The System Manager's name and title;

(2) The reasons for the denial, including citation to the appropriate sections of the Privacy Act and this part; and

(3) Notification of the individual's right to appeal the denial pursuant to § 1008.11 and to administrative and judicial review under 5 U.S.C. 552a(g)(1)(B), as limited by 552a(g)(5).

(c) Nothing in this section shall:

(1) Require the furnishing of information or records that are not retrieved by the name or by some other identifying number, symbol or identifying particular of the individual making the request;

(2) Prevent a System Manager from waiving any exemption authorizing the denial of records, in accordance with § 1008.12.

§ 1008.10 Action in response to a request for correction or amendment of records.

(a) The Privacy Act Officer must respond in writing to the requester for amendment of a record within 10 working days of receipt. This response shall inform the requester of the decision whenever possible.

(b) If the decision cannot be reached within 10 working days, the requester shall be informed of the reason for delay and the date (within 20 working days) it is expected that the decision will be made.

(c) The Privacy Act Officer, consistent with the recommendation of the System Manager or Managers, as concurred in by the appropriate General Counsel, if appropriate, shall do one of the following:

(1) Instruct the System Manager to make the requested correction or amendment; and advise the individual in writing of such action, providing either a copy of the corrected or amended record, or a statement as to the means whereby the correction or amendment was accomplished in cases where a copy cannot be provided (for example, erasure of information from a record maintained only in an electronic data bank); or

(2) Inform the individual in writing that his request is denied in whole or in part. Such denial shall be sent by certified or registered mail, return receipt requested, and shall provide the following information:

(i) The System Manager's name and title;

(ii) The reasons for the denial; including citation to the appropriate sections of the Act and this part; and

(iii) Notification of the individual's right to appeal the denial pursuant to

§ 1008.11 and to administrative and judicial review under 5 U.S.C. 552a(g)(1)(B), as limited by 5 U.S.C. 552a(g)(5).

(iv) Notification of the right of the individual to submit a statement of disagreement consistent with § 1008.11(g).

(d) Whenever an individual's record is amended pursuant to a request by that individual, the Privacy Act Officer or the System Manager, as appropriate, shall notify all persons and agencies to which the amended portion of the record had been disclosed prior to its amendment, if an accounting of such disclosure was required by the Act. The notification shall request a recipient agency maintaining the record to acknowledge receipt of the notification, to correct or amend the record and to apprise an agency or person to which it had disclosed the record of the substance of the amendment.

(e) The following criteria will be taken into account by the DOE in reviewing a request for amendment:

(1) The sufficiency of the evidence submitted by the individual;

(2) The factual accuracy of the information;

(3) The relevance and necessity of the information in relation to the purpose for which it was collected;

(4) If such information is used in making any determination about the individual, whether the information is as accurate, relevant, timely, and complete as is reasonably necessary to assure fairness to the individual in such determination;

(5) The degree of possibility that denial of the request could unfairly result in a determination adverse to the individual;

(6) The nature of the record sought to be corrected or amended; and

(7) The propriety and feasibility of complying with the specific means of amendment requested by the individual.

(f) The DOE will not undertake to gather evidence for the individual, but does reserve the right to verify the evidence that the individual submits.

(g) Amendment of a record requested by an individual may be denied upon a determination that:

(1) The individual has failed to establish, by a preponderance of the evidence, the propriety of the amendment in relation to the criteria stated in paragraph (e) of this section;

(2) The record sought to be amended was compiled in a terminated judicial, quasi-judicial or quasi-legislative proceeding to which the individual was a party or participant;

(3) The record sought to be amended is the subject of a pending judicial, quasi-judicial or quasi-legislative proceeding to which the individual is a party or participant;

(4) The amendment would violate a duly enacted statute or promulgated regulation;

(5) The individual has unreasonably failed to comply with the procedural requirements of this part; or

(6) The record has been properly exempted from the provisions of subsection (d) of the Act.

(h) Nothing in this section shall restrict the DOE from granting in part or denying in part a request for amendment of records.

[45 FR 61577, Sept.16, 1980, as amended at 46 FR 31637, June 17, 1981]

§ 1008.11 Appeals of denials of requests pursuant to § 1008.6.

(a) Any individual may appeal the denial of a request made by him for information about or for access to or correction or amendment of records. An appeal shall be filed within 30 calendar days after receipt of the denial. When an appeal is filed by mail, the postmark is conclusive as to timeliness. The appeal shall be in writing and must be signed by the individual. The words "PRIVACY ACT APPEAL" should appear in capital letters on the envelope and the letter. Appeals of denials relating to records maintained in government-wide systems of records reported by the OPM, shall be filed, as appropriate, with the Assistant Director for Agency Compliance and Evaluation, Office of Personnel Management (OPM), 1900 E Street, NW., Washington, DC 20415. All other appeals relating to DOE records shall be directed to the Director, Office of Hearings and Appeals (OHA), Department of Energy, Headquarters, Washington, DC.

(b) An appeal not addressed and marked as specified in paragraph (a) of this section shall be forwarded immediately to the Assistant Director for Agency Compliance and Evaluation, OPM, or the Director, OHA, as appropriate. An appeal that is not properly addressed by an individual shall not be deemed to have been received for purposes of time periods in this section until actual receipt of the appeal by the Assistant Director, OPM, or the Director, OHA. In each instance when an appeal so forwarded is received, the individual filing the appeal shall be notified that the appeal was improperly addressed and the date when the appeal was received by the Assistant Director, OPM, or the Director, OHA.

(c) The appeal shall include the following:

(1) A copy of the original request for access or for amendment;

(2) A copy of the initial denial; and

(3) A statement of the reasons why the initial denial is believed to be in error.

(d) The records or record to which the individual was denied access, or which was requested to be corrected or amended, will be supplied to the appropriate appeal authority by the Privacy Act Officer who issued the initial denial. While such records normally will comprise the entire record on appeal, the appeal authority may seek such additional information as is necessary to assure that the final determination is fair and equitable.

(e) No personal appearance or hearing on appeal will be allowed.

(f) The appropriate appeal authority for DOE records shall act upon the appeal and issue a final determination in writing no later than 20 working days from the date on which the appeal is received. However, the appeal authority may extend the ten-day period upon a determination that a fair and equitable review cannot be made within that period. In such cases the individual shall be advised in writing of the reason for the extension and of the estimated date by which a final determination will be issued. The final determination shall be issued not later than the 30th working day after receipt of the appeal unless unusual circumstances, as defined in § 1008.7, are present, whereupon an additional 30 days may be extended.

(g) If an appeal of a denial of access is granted, a copy of the determination shall be transmitted promptly to the individual, the Privacy Act Officer and the appropriate System Manager. Upon receipt of the determination, the Privacy Act Officer promptly shall take action consistent with § 1008.8.

(h) If an appeal of a denial of correction or amendment is granted, the final determination shall identify the specific corrections or amendments to be made. A copy of the determination shall be transmitted promptly to the individual, the Privacy Act Officer and the appropriate System Manager. Upon receipt of the determination, the Privacy Act Officer promptly shall take steps to insure that the actions set forth in § 1008.10 (a) and (b) are taken.

(i) If the appeal of a denial of access is denied, the final determination shall state the reasons for the denial and shall be transmitted promptly to the individual, the Privacy Act Officer and the appropriate System Manager. The determination shall also include a statement identifying the right of the individual to administrative and judicial

review pursuant to 5 U.S.C. 552a(g)(1)(B) as limited by 5 U.S.C. 552a(g)(5).

(j) If the appeal of a denial of correction or amendment is denied, the final determination shall state the reasons for the denial and shall be transmitted promptly to the individual, the Privacy Act Officer and the appropriate System Manager.

(1) The determination also shall include the following:

(i) Notice of the right of the individual to file with the Privacy Act Officer a concise, signed statement of reasons for disagreeing with the final determination, receipt of which statement will be acknowledged by the Privacy Act Officer.

(ii) An indication that any disagreement statement filed by the individual will be noted and appended to the disputed record and that a copy of the statement will be provided by the Privacy Act Officer or the System Manager, as appropriate, to persons and agencies to which the record is disclosed subsequent to the date of receipt of such statement;

(iii) An indication that the DOE shall append to any disagreement statement filed by the individual a copy of the final determination or a summary thereof, which determination or summary also will be provided to persons and agencies to which the disagreement statement is disclosed; and,

(iv) A statement of the right of the individual to administrative and judicial review under 5 U.S.C. 552a(g)(1)(B), as limited by 5 U.S.C. 552a(g)(5).

(2) Although a copy of the final determination or a summary thereof will be treated as part of the individual's record for purposes of disclosure in instances where the individual has filed a disagreement statement, it will not be subject to correction or amendment by the individual.

(3) Where an individual files a statement of disagreement consistent with paragraph (j)(1) of this section, the Privacy Act Officer shall take steps to insure that the actions provided in paragraph (j)(1)(i), (ii) and (iii) of this section are taken.

§ 1008.12 Exemptions.

(a) *General exemptions.* (1) *Generally.* 5 U.S.C. 552a(j)(2) allows the exemption of any system of records within the DOE from any part of section 552a except subsections (b), (c)(1) and (2), (e)(4)(A) through (F) (e)(6), (7), (9), (10), and (11), and (i) of the Act if the system of records is maintained by a DOE component which performs as its principal function any activity pertaining to the enforcement of criminal laws, including police efforts to prevent, control, or reduce crime or to apprehend criminals, and which consists of (i) information compiled for the purpose of identifying individual criminal offenders and alleged offenders; (ii) information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; or (iii) reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal laws from arrest or indictment through release from supervision.

(2) *Applicability of general exemptions to DOE systems of records. (i) Investigative Files of the Inspector General (DOE–54).* This system of records is being exempted pursuant to subsection (j)(2) of the Act in order to aid the Office of the Inspector General in the performance of its law enforcement function. The system is exempted from subsections (c)(3) and (4); (d)(1)–(4); (e)(1)–(3); (4)(G), (H), and (I); (5) and (8); and (g) of the Act. The system is exempt from these provisions for the following reasons: notifying an individual at the individual's request of the existence of records in an investigative file pertaining to such individual, or granting access to an investigative file could (A) interfere with investigative and enforcement proceedings and with co-defendants' right to a fair trial; (B) disclose the identity of confidential sources and reveal confidential information supplied by these sources; and (C) disclose investigative techniques and procedures.

(b) *Specific exemptions.* Subsection (k) of the Privacy Act establishes seven categories of systems of records which may be exempted from subsections (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (7) of the Act. The Department has exempted systems of records under four of these provisions, as follows: (1) Classified material. (i) Subsection (k)(1) permits exemption of systems of records that are specifically authorized under criteria established under statute or Executive Order to be kept secret in the interest of national defense or foreign policy, and are in fact properly classified pursuant to such statute or Executive Order. Restricted Data and Formerly Restricted Data under the Atomic Energy Act of 1954, as amended, are included in this exemption.

(ii) The DOE systems of records listed below have been exempted under subsection (k)(1) to the extent they contain classified information, in order to prevent serious damage to the national defense or foreign policy that could arise from providing individuals access to classified information. Systems exempted under subsection (k)(1) are—

(A) Alien Visits and Participation (DOE–52).

(B) Clearance Board Cases (DOE–46).

(C) Security Correspondence Files (DOE–49).

(D) Foreign Travel Records (DOE–27)

(E) Legal Files (Claims, Litigations, Criminal Violation, Patents, and other Legal Files) (DOE–41).

(F) Personnel Security Clearance Files (DOE–43).

(G) Personnel Security Clearance Index (Automated) (DOE–42).

(H) Special Access Authorization for Categories of Classified Information (DOE–44).

(2) *Investigatory material compiled for law enforcement purposes.* (i) Subsection (k)(2) permits the exemption of investigatory material compiled for law enforcement purposes, *provided, however,* that if any individual is denied any right, privilege, or benefit to which he would otherwise be entitled by Federal law, or for which he would otherwise be eligible, as a result of the maintenance of such material, such material shall be provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence.

(ii) The DOE systems of records listed below have been exempted under subsection (k)(2) in order to prevent subjects of investigation from frustrating the investigatory process through access to records about themselves or as a result of learning the identities of confidential informants; to prevent disclosure of investigative techniques; to maintain the ability to obtain necessary information; and thereby to insure the proper functioning and integrity of law enforcement activities. Systems of records exempted under subsection (k)(2) are—

(A) Alien Visits and Participation (DOE–52).

(B) Clearance Board Cases (DOE–46).

(C) Security Correspondence Files (DOE–49).

(D) Foreign Travel Records (DOE–27).

(E) Legal Files (Claims, Litigation, Criminal Violations, Patents, and other Legal Files) (DOE–41).

(F) Personnel Security Clearance Files (DOE–43).

(G) Personnel Security Clearance Index (Automated) (DOE–42).

(H) Special Access Authorization for Categories of Classified Information (DOE–44).

(I) DOE Personnel and General Employment Records (DOE–1) (only personnel investigative records concerning current and former DOE employees and applicants for employment by DOE).

(J) Investigative Files of the Inspector General (DOE–54) (only investigative records concerning past and present DOE employees).

(3) *Investigatory material compiled for determining suitability for Federal employment.* (i) Subsection (k)(5) permits exemption of systems of records that contain investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualification for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence.

(ii) The DOE systems of records listed below have been exempted under subsection (k)(5) to the extent they contain the kinds of records described in subsection (k)(5) in order to maintain DOE's ability to obtain candid information on candidates for employment, contracts, or access to classified information and to fulfill commitments made to sources to protect the confidentiality of information, and thereby to facilitate proper selection or continuation of the best applicants or persons for a given position or contract. Systems exempted under subsection (k)(5) are—

(A) DOE Personnel and General Employment Records (DOE–1);

(B) Personnel Security Clearance Files (DOE–43);

(C) Investigative Files of the Inspector General (DOE–54);

(D) Alien Visits and Participation (DOE–52);

(E) Clearance Board Cases (DOE–46);

(F) Security Correspondence Files (DOE–49);

(G) Foreign Travel Records (DOE–27);

(H) Legal Files (Claims, Litigation, Criminal Violations, Patents, and other Legal Files) (DOE–41);

(I) Personnel Security Clearance Index (Automated) (DOE–42);

(J) Special Access Authorization for Categories of Classified Information (DOE–44);

(K) DOE Personnel: Supervisor-Maintained Personnel Records (DOE–2);

(L) Applications for DOE Employment (DOE–4).

(4) *Testing or examination material.* (i) Subsection (k)(6) permits exemption of systems of records that include testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service, the disclosure of which would compromise the objectivity or fairness of the testing of examination process.

(ii) The DOE systems of records listed below have been exempted to the extent they contain testing or examination material in order to protect the integrity of the personnel testing and evaluation process and to avoid providing individuals with unfair advantage, by premature or unfair disclosure of testing or rating information. Systems exempted under Subsection (k)(6) are—

(A) (DOE–2) DOE Personnel: Supervisor-Maintained Personnel Records.

(B) (DOE–4) Applications for DOE Employment.

(C) (DOE–1) DOE Personnel and General Employment Records.

(c) *Application of exemptions to particular requests.* (1) The Privacy Act Officer, consistent with the recommendation of the System Manager and with concurrence of the appropriate General Counsel, may make available records which the DOE is authorized to withhold under this section.

(2) With respect to records containing material or information that would reveal the identity of a source who was given an assurance of confidentiality, a determination to make records available pursuant to paragraph (c)(1) of this section shall be made only if the source consents to the release of such information to the individual, or if it is determined that the material or information is not adverse or detrimental to the individual, or for good cause shown. The exercise of discretion with respect to waiver of the exemption shall be final.

(3) Prior to making a determination to deny access to a record in a system of records covered by exemption (k)(1) for classified material (see paragaph (b)(1) of this section), the System Manager shall consult with the Director, Division of Classification, to verify the current classification status of the information in the requested record.

§ 1008.13 Fees.

(a) The only fees to be charged to or collected from an individual under the provisions of this part are for copying records at the request of the individual. The fee charged shall be consistent with the fee schedule set forth in paragraph (b) of this section.

(1) No fees shall be charged or collected for the following: search for and retrieval of records; review of records; copying by the DOE incident to granting access; copying at the initiative of the DOE without a request from the individual; copying when the aggregate of fees for copying is $25 or less; time spent providing copies; transportation of records and personnel; and first class postage.

(2) It is the policy of the DOE to provide an individual with one copy of each record corrected or amended pursuant to request without charge.

(3) As required by the Office of Personnel Management in its published regulations implementing the Act, the DOE will charge no fee for a single copy of a personnel record covered by that Commission's Government-wide published notice of systems of records.

(b) The schedule of fees is as follows:

(1) $.10 per copy of each page.

(2) For other forms of copying and other forms of materials (e.g., cassettes, computer materials), the direct cost of the materials, personnel, and equipment shall be charged, but only with prior specific approval of the person making the request, when such charges would be in excess of $25.

(c) The Privacy Act Officer may, upon application by an individual, furnish any records without charge or at a reduced rate, if the Privacy Act Officer determines that such waiver or reduction of fees is in the public interest.

(d) Payment shall be made by check or money order payable to the United States Department of Energy.

(e) Advance payment of all or part of the fees may be required at the discretion of the Privacy Act Officer. Unless the individual requesting the copies specifically states that he is willing to pay whatever fees are assessed for meeting the request or, alternatively, specifies an amount in excess of $25 that he is willing to pay and which in fact covers the anticipated fees for meeting the request, a request that is expected to involve assessed fees in excess of $25 shall not be deemed to have been received, for purposes of the time periods specified in § 1008.7 and § 1008.10 until the individual making the request is notified of the anticipated cost, agrees to bear it, and makes any advance deposit required. Such notification shall be made by the Privacy Act Officer as promptly as possible after receipt of the request.

§ 1008.14 Requests under false pretenses.

Subsection (i)(3) of the Act provides that any person who knowingly and willingly requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdeamenaor and fined not more than $5,000.

§ 1008.15 Civil remedies.

Subsection (g) of the Act provides that an individual may bring suit against the DOE for a violation of the Privacy Act, as follows:

(a) If the DOE refuses to grant a request for access to an individual's records, the court may order the DOE to provide the individual with access to his or her records and award reasonable litigation costs and attorney's fees.

(b) If the DOE refuses to amend a record or fails to review an amendment request as required by subsection (d)(3) of the Act, the court may order the DOE to make the amendment and award reasonable litigation costs and attorney's fees.

(c) If the DOE makes an adverse determination based on a record which is not maintained in an accurate, timely, relevant, and complete manner, the individual may be awarded actual damages of at least $1,000. In order to prevail, the individual must show that—

(1) The DOE's action was willful and intentional; and

(2) The adverse determination was based on the faulty record.

(d) If the DOE fails to comply with any other provision of the Privacy Act or agency rule promulgated under the Act, in such a way as to have an adverse effect on the individual, the court may award actual damages of at least $1,000. In order to prevail, the individual must show that—

(1) The DOE's action was willful and intentional; and

(2) The agency's action had an adverse effort on the individual; and

(3) The adverse effect was causally related to the DOE's action.

Subpart C—Disclosure to Third Parties

§ 1008.16 Prohibition against disclosure.

Except as provided in § 1008.17, the DOE shall not disclose any record which is contained in a system of records, by any means of communication, to any agency or to any person other than the individual who is the subject of the record.

§ 1008.17 Conditions of disclosure.

(a) Notwithstanding the prohibition contained in § 1008.16, the DOE may disclose records covered by this part (1) to the individual to whom the record pertains or to an agency or (2) to a person other than the individual where he has given his prior written consent to the disclosure or has made a written request for such disclosure.

(b) Notwithstanding the prohibition contained in § 1008.16 the DOE may also disclose records covered by this part whenever the disclosure is:

(1) To officers and employees of the DOE who have a need for the record in the performance of their duties;

(2) Required under the Freedom of Information Act (5 U.S.C. 552);

(3) For a routine use (as defined in § 1008.2) which is described in the **Federal Register** notice for the system of records which the disclosure is to be made;

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of Title 13 of the United States Code;

(5) To a recipient who has provided the agency with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law and if the head of the agency or instrumentality has made a written request to the DOE specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(9) To either House of Congress, or to any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee, to the extent of matter within its jurisdiction;

(10) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office;

(11) Pursuant to the order of a court of competent jurisdiction.

(c) Notwithstanding the prohibition contained in section § 1008.16 of this part, the DOE may also disclose records covered by this part when disseminating a corrected or amended record or notation of a disagreement statement as required by subsection (c)(4) of the Act.

§ 1008.18 Accounting for disclosures.

(a) For each disclosure of information contained in a system of records under his control, except disclosures to authorized officers and employees of DOE and disclosures required by the Freedom of Information Act, the appropriate System Manager shall keep an accurate accounting of:

(1) The date, nature, and purposes of each disclosure of a record made to any person or to another agency; and

(2) The name and address of the person or agency to which the disclosure was made.

(b) The accounting shall be retained for at least five years or the life of the record, whichever is longer, after the disclosure for which the accounting is made.

(c) The accounting described in paragraph (a) of this section shall be made available to the individual named in the record upon written request to the Privacy Act Officer at the appropriate DOE location listed at § 1008.2(c) of this part. However, the accounting shall not be revealed with respect to disclosures made under § 1008.17(b)(7) of this part, pertaining to law enforcement activity; or with respect to disclosures involving system of records for which DOE had claimed an exemption from certain requirements of the Act, as provided in § 1008.12 of this part.

(d) Whenever an amendment or correction of a record or a notation of dispute concerning the accuracy of records is made by the DOE in accordance with §1008.10(a)(2)(iv) and § 1008.11(g) of this part, DOE shall inform any person or other agency to whom the record was previously disclosed if an accounting of the disclosure was made pursuant to the requirements of paragraph (a) of this section, unless the disclosure was made pursuant to section § 1008.17(b)(7) of this part; or the disclosure involved a system of records of which DOE has claimed an exemption from certain requirements of the Act, as provided in § 1008.12 of this part.

(e) The System Manager shall make reasonable efforts to serve notice on an individual when any record containing information about such individual in a DOE system of records is disclosed to any person under compulsory legal

process when such process becomes a matter of public record.

(f) Prior to disclosing any record about an individual to any person other than an agency, unless the disclosure is pursuant to the Freedom of Information Act, the System Manager shall make reasonable efforts to assure that each record is accurate, complete, timely, and relevant for DOE's purposes.

§ 1008.19 Criminal penalties—improper disclosure.

Subsection (i)(1) of the Act provides that a Federal employee who willfully discloses information subject to the Privacy Act in violation of the Act or rules promulgated under it shall be guilty of a misdemeanor and fined up to $5,000.

Subpart D—Maintenance and Establishment of Systems of Records

§ 1008.20 Content of systems of records.

(a) The DOE will maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose DOE is required to accomplish by statute or by Executive Order of the President, unless an exemption ot this requirement has been claimed by DOE, as provided in § 1008.12 of this part.

(b) The DOE will maintain no record describing how any individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless it is pertinent to and within the scope of an authorized law enforcement activity.

(c) The DOE will maintain all records that are used by it to make any determination about any individual with such accuracy, relevance, timeliness and completeness as is reasonably necessary to assure fairness to the individual in such determination.

§ 1008.21 Collection of information by DOE about an individual for a system of records.

(a) The DOE will collect information, to the greatest extent practicable, directly from the subject individual when the use of the information may result in adverse determinations about an individual's rights, benefits and privileges under Federal programs, unless an exemption from the Act to this requirement has been claimed by DOE as provided in § 1008.12

(b) Unless an exemption from the Act has been claimed by DOE under subsection (j)(2), as provided in § 1008.12, DOE shall inform each individual whom it asks to supply information, on the form or other means by which it uses to collect the information, or on a separate form that can be retained by the individual, of the following:

(1) The authority (whether granted by statute or by Executive Order of the President) that authorizes the solicitation of the information and whether the provision of such information is mandatory or voluntary;

(2) The principal purpose or purposes for which the information is intended to be used;

(3) The routine uses that may be made of the information, as published in the **Federal Register** pursuant to the requirements of the Act; and

(4) The effect on the individual, if any, of not providing all or any part of the requested information.

§ 1008.22 Use and collection of social security numbers.

(a) The System Manager of each system of records which utilizes social security numbers as a method of identification without statutory authorization or authorization by regulation adopted prior to January 1, 1975, shall revise the system to avoid future collection and use of the social security numbers.

(b) Heads of Headquarters Divisions and Offices and heads of the other DOE locations shall insure that employees authorized to collect information from individuals are advised that individuals may not be required to furnish social security numbers without statutory authorization, and that individuals who are requested to provide social security numbers voluntarily must be advised that furnishing the number is not required and that no penalty or denial of benefits will flow from the refusal to provide it.

§ 1008.23 Public notice of systems of records.

(a) The DOE shall publish in the **Federal Register** at least annually a notice of the existence and character of each of its systems of records, which notice shall include:

(1) The name and location of the system;

(2) The categories of individuals on whom records are maintained in the system;

(3) The categories of records maintained in the system;

(4) Each routine use of the records contained in the system, including the categories of users and the purpose of such use, subject to paragraph (d) of this section;

(5) The policies and practices of the DOE regarding storage, retrievability, access controls, retention, and disposal of the records;

(6) the title and business address of the DOE official who is responsible for the system of records;

(7) The DOE procedures whereby an individual can be notified at his request if the system of records contains a record pertaining to him;

(8) The DOE procedures whereby an individual can be notified at his request about how he can gain access to any record pertaining to him contained in the system or records, and how he can contest its content; and

(9) the categories of source of records in the systems.

(b) Notwithstanding the requirements of paragraph (a) of this section, the notice of systems of records shall not necessarily include the information in paragraphs (a) (7)–(9) of this section if DOE has claimed a general or specific exemption from the requirements of the Act, as provided in § 1008.12.

(c) Copies of the notices as printed in the **Federal Register** shall be available at the DOE locations listed at § 1008.2(c). Requests by mail for copies of such notices should be sent to Privacy Act Officer, Headquarters, U.S. Department of Energy, Washington, DC. 20585. The first copy will be furnished free of charge. For each additional copy, the costs of printing and handling may be charged.

(d) DOE shall publish in the **Federal Register** notice of any new routine use or intended routine use of a record in the system of records, at least 30 calendar days prior to the implementation of any new routine use of a record in a system of records, or at least 30 calendar days prior to publication of the annual notice of such routine uses, as provided in paragraph (a) of this section, an opportunity for interested persons to submit written comments consisting of data, views, or arguments regarding such use to DOE, shall be provided.

§ 1008.24 Criminal penalties—failure to publish a system notice.

Subsection (i)(2) of the Act provides that an agency officer or employee who willfully maintains a system of records without publishing a system notice as required by subsection (e)(4) of the Act shall be guilty of a misdemeanor and fined up to $5,000.

Title 18-Conservation of Power, Water Resources

Chapter I-Federal Energy Regulatory Commission

PART 3b—COLLECTION, MAINTENANCE, USE, AND DISSEMINATION OF RECORDS OF IDENTIFIABLE PERSONAL INFORMATION

Subpart A—General

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3b.250 Specific exemptions.

Authority: Federal Power Act, as amended, section 309, 49 Stat. 858–859 (16 U.S.C. 825h); Natural Gas Act, as amended, Section 16, 52 Stat. 830 (15 U.S.C. 717o); and Pub. L. No. 93–579 (88 Stat. 1896).

Source: Order No. 536, 40 FR 44288, Sept. 25, 1975, unless otherwise noted.

Subpart A—General

§ 3b.1 Purpose.

Part 3b describes the Federal Power Commission's program to implement the provisions of the Privacy Act of 1974 (Pub. L. No. 93–579, 88 Stat. 1896) to allow individuals to have a say in the collection and use of information which may be used in determinations affecting them. The program is structured to permit an individual to determine what records pertaining to him and filed under his individual name, or some other identifying particular, are collected, maintained, used or disseminated by the Commission, to permit him access to such records, and to correct or amend them, and to provide that the Commission collect, use, maintain and disseminate such information in a lawful manner for a necessary purpose.

§ 3b.2 Definitions.

In this part:

(a) "Agency", as defined in 5 U.S.C. 551(1) as "* * * each authority of the Government of the United States, whether or not it is within or subject to review by another agency, * * *", includes any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency [5 U.S.C. 552(e)];

(b) "Individual" means a citizen of the United States or an alien lawfully admitted for permanent residence;

(c) "Maintain" includes, maintain, collect, use, or disseminate;

(d) "Record" means any item, collection or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph;

(e) "System of records" means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual;

(f) "Statistical record" means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual, except as provided by section 8 of title 13 of the United States Code;

(g) "Routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected; and

(h) "Disclosure" means either the transmittal of a copy of a record or the granting of access to a record, by oral, written, electronic or mechanical communication.

§ 3b.3 Notice requirements.

(a) The Commission will publish at least annually in the **Federal Register** a notice identifying the systems of records currently maintained by the Commission. For each system of records, the notice will include the following information:

(1) The name and location of the system;

(2) The categories of individuals on whom records are maintained in the system;

(3) The categories of records maintained in the system;

(4) The specific statutory provision or executive order, or rule or regulation issued pursuant thereto, authorizing the maintenance of the information contained in the system;

(5) Each routine use of the records contained in the system, including the categories of users and the purposes of such use;

(6) The policies and practices regarding the storage, retrievability, access controls, and retention and disposal of the records;

(7) The title and business address of the Commission official who is responsible for the system of records;

(8) The procedures whereby an individual can be notified at his request if the system of records contains a record pertaining to him;

(9) The procedures whereby an individual can be notified at his request how he can gain access to any record pertaining to him contained in the system of records, and how he can contest its contents; and

(10) The categories of sources of records in the system.

(b) At least thirty days prior to its operation, the Commission will publish in the **Federal Register** a notice of its intention to establish a new system of records reciting the information required pursuant to paragraphs (a) (1)–(10) of this section and notice of any major change to an existing system.

(c) The Commission will publish in the **Federal Register** a notice of its intention to establish any new or intended routine use of the information in an existing system of records at least thirty days prior to the disclosure of the record for that routine use. A new routine use is one which involves disclosure of records for a new purpose compatible with the purpose for which the record is maintained or which involves disclosure to a new recipient or category of recipients. At a minimum, the notice will contain the following information:

(1) The name of the system of records for which the routine use is to be established;

(2) The authority authorizing the maintenance of the information contained in the system;

(3) The categories of records maintained in the system;

(4) The proposed routine use(s);

(5) The categories of recipients for each proposed routine use; and

(6) Reference to the public notice in the **Federal Register** under which the existing system had already been published.

§ 3b.4 Government contractors.

Systems of records operated by a contractor, pursuant to a "contract," on behalf of the Commission, which are designed to accomplish a Commission function, are considered, for the purposes of this part, to be maintained by the Commission. A "contract" covers any contract, written or oral, subject to the Federal Procurement Regulations. The contractual instrument will specify, to the extent consistent with the Commission's authority to require it, that the systems of records be maintained in accordance with the requirements of this part.

§ 3b.5 Legal guardians.

For the purposes of this part, the parent of any minor, or the legal guardian of any individual who has been declared to be incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, may act on behalf of the individual.

Subpart B—Standards for Maintenance and Collection of Records

§ 3b.201 Content of records.

(a) All records which are maintained by the Commission in a system of records will contain only such information about an individual that is relevant and necessary to accomplish a purpose of the Commission as required to be accomplished by statute or by executive order of the President. Pursuant to § 3b.3(a)(4) of this part, the Commission will identify in the **Federal Register** the specific provisions in law which authorize it to maintain information in a system of records. In determining the "relevance" and "necessity" of records, the following considerations will govern:

(1) Whether each item of information relates to the purposes, in law, for which the system is maintained;

(2) The adverse consequences, if any, of not collecting the information;

(3) Whether the need for the information could be met through the maintenance of the information in a non-individually identifiable form;

(4) Whether the information in the record is required to be collected on every individual who is the subject of a record in the system or whether a sampling procedure would suffice;

(5) The length of time it is necessary to retain the information;

(6) The financial cost of maintaining the record as compared to the adverse consequences of not maintaining it; and

(7) Whether the information, while generally relevant and necessary to accomplish a statutory purpose, is specifically relevant and necessary only in certain cases.

(b) All records which the Commission maintains in a system of records and which are used to make a determination about an individual will be maintained with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination. Where practicable, in questionable instances, reverification of pertinent information with the individual to whom the record pertains may be appropriate. In pursuit of "completeness" in the collection of information, the Commission will limit its records to those elements of information which clearly bear on the determination for which the records are intended to be used, assuring that all elements necessary to the determination are present before the determination is made.

(c) Prior to disseminating any records in a system of records, the Commission will make reasonable efforts to assure that such records are as accurate, relevant, timely, and complete as appropriate for the purposes for which they are collected and/or maintained, except when they are disclosed to a member of the public under the Freedom of Information Act, 5 U.S.C. 552, as amended, or to another agency.

(d) No records of the Commission in a system of records shall describe how any individual exercises his First Amendment rights unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity. The exercise of these rights includes, but is not limited to, religious and political beliefs, freedom of speech and of the press, and freedom of assembly and petition. In determining whether or not a particular activity constitutes the exercise of a right guaranteed by the First Amendment, the Commission will apply the broadest reasonable interpretation.

§ 3b.202 Collection of information from individuals concerned.

(a) Any information collected by the Commission for inclusion in a system of records which may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs, will, to the greatest extent practicable, be collected directly from the subject individual (see paragraph (d) of this section).

(b) The Commission will inform each individual whom it asks to supply information about himself, on the form which it uses to collect the information, or on a separate sheet that can be easily retained by the individual, in language which is explicit, informative, and easily understood, and not so lengthy as to deter an individual from reading it, of:

(1) The specific provision of the statute or executive order of the President, including the brief title or subject of that statute or order which authorizes the solicitation of the information; whether disclosure of such information is mandatory or voluntary; and whether the Commission is authorized or required to impose penalties for failing to respond;

(2) The principal purpose or purposes for which the information is intended to be used;

(3) The routine uses which may be made of the information, as described in the **Federal Register** in the notice of the system of records in which the information is maintained, and which are relatable and necessary to a purpose described pursuant to paragraph (b)(2) of this section; and

(4) The effects (beneficial and adverse) on the individual if any, of not providing all or any part of the requested information.

(c) Social security numbers will not be required from individuals whom the Commission asks to supply information unless the disclosure of the number is required by Federal statute or unless disclosure is to the Commission maintaining a system of records in existence and operating before January 1, 1975, if such disclosure was required pursuant to a statute or regulation adopted prior to such date to verify the identity of an individual. When an individual is requested to disclose his social security number to the Commission, he will be informed under what statutory or other authority such number is solicited, what uses will be made of it, whether disclosure is mandatory or voluntary, and if it is mandatory, under what provisions of law or regulation.

(d) The use of third-party sources to collect information about an individual may be appropriate in certain circumstances. In determining when the use of third-party sources would be appropriate, the following considerations will govern:

(1) When the information needed can only be obtained from a third party;

(2) When the cost of collecting the information directly from the individual concerned far exceeds the cost of collecting it from a third party;

(3) When there is little risk that the information proposed to be collected from the third party, if inaccurate, could result in an adverse determination about the individual concerned.

(4) When there is a need to insure the accuracy of information supplied by an individual by verifying it with a third party, or there is a need to obtain a qualitative assessment of the individual's capabilities or character; or

(5) When there are provisions for verifying any third-party information with the individual concerned before making a determination based on that information.

Third party sources, where feasible, will be informed of the purposes for which information which they are asked to provide will be used. In appropriate circumstances, pursuant to 5 U.S.C. 552a(k) (2), (5), and (7), the Commission may assure a third party that his identity will not be revealed to the subject of the collected information.

§ 3b.203 Rules of conduct.

(a) The Executive Director of the Commission has the overall administrative responsibility for implementing the provisions of the Privacy Act of 1974 and overseeing the conduct of all Commission employees with respect to the act.

(b) It is the responsibility of the Comptroller of the Commission, under the guidance of the Executive Director, to prepare the appropriate internal administrative procedures to assure that all persons involved in the design, development, or operation of any system of records, or in collecting, using, or disseminating any individual record, and who have access to any system of records, are informed of all rules and requirements of the Commission to protect the privacy of the individuals who are the subjects of the records, including the applicable provisions of the FPC Standards of Conduct for Employees, Special Government Employees and Commissioners, specifically 18 CFR 3.207(e) and 3.228(d).

(c) The Director, Office of Personnel Programs, is responsible for establishing and conducting an adequate training program for such persons whose official duties require access to and collection, maintenance, use, and dissemination of such records.

(d) The General Counsel of the Commission is responsible for providing legal interpretation of the Privacy Act of 1974, and for preparing all agency rules and notices for official publication in compliance with the act.

(e) Commission employees will be informed of all the implications of their actions in this area, including especially:

(1) That there are criminal penalties for knowing and willful unauthorized disclosure of material within a system of records; for willful failure to publish a public notice of the existence of a system of records; and for knowingly and willfully requesting or obtaining records under false pretenses;

(2) That the Commission may be subject to civil suit due to failure to amend an individual's record in accordance with his request or failure to review his request in conformity with § 3b.224; refusal to comply with an individual's request of access to a record under § 3b.221; willful or intentional failure to maintain a record accurately pursuant to § 3b.201(b) and consequently a determination is made which is adverse to the individual; or willful or intentional failure to comply with any other provision of the Privacy Act of 1974, or any rule promulgated thereunder, in such a way as to have an adverse effect upon an individual.

§ 3b.204 Safeguarding information in manual and computer-based record systems.

(a) The administrative and physical controls to protect the information in the manual and computer-based record systems from unauthorized access or disclosure will be specified for each system in the **Federal Register**. The system managers, who are responsible for providing protection and accountability of such records at all times and for insuring that the records are secured in proper containers whenever they are not in use or under direct control of authorized persons, will be identified for each system of records in the **Federal Register**.

(b) Whenever records in the manual or computer-based record systems, including input and output documents, punched cards, and magnetic tapes or disks, are not under the personal control of an authorized person, they will be stored in lockable containers and/or in a secured room, or in alternative storage systems which furnish an equivalent or greater degree of physical security. In this regard, the Commission may refer to security guidelines prepared by the General Services Administration, the Department of Commerce (National Bureau of Standards), or other agencies with appropriate knowledge and expertise.

(c) Access to and use of records will only be permitted to persons pursuant to §§ 3b.221, 3b.224, and 3b.225. Access to areas where records are stored will be limited to those persons whose official duties require work in such areas. Proper control of data, in any form, associated with the manual and computer-based record systems will be maintained at all times, including maintenance of an accounting of removal of the records from the storage area.

Subpart C—Rules for Disclosure of Records

§ 3b.220 Notification of maintenance of records to individuals concerned.

(a) Upon written request, either in person or by mail, to the appropriate system manager specified for each system of records, an individual will be notified whether a system of records maintained by the Commission and named by the individual contains a record or records pertaining to him and filed under his individual name, or some other identifying particular.

(b) The system manager may require appropriate identification pursuant to § 3b.222, and if necessary, may request from the individual additional information needed to locate the record which the individual should reasonably be expected to know, such as, but not limited to, date of birth, place of birth, and a parent's first name.

(c) When practicable, the system manager will provide a written acknowledgement of the inquiry within ten days of receipt of the inquiry (excluding Saturdays, Sundays and legal public holidays) and notification of whether or not a system of records maintained by the Commission and named by the individual contains a record pertaining to him and filed under his individual name or some other identifying particular. If the system manager is unable to provide an answer within the ten-day period, he will so inform the individual in writing, stating the reasons therefor (for good cause shown), and when it is anticipated that notification will be made. Such an extension will not exceed fifteen days from receipt of the inquiry (excluding Saturdays, Sundays, and legal public holidays).

(d) "For good cause shown", as used in all sections of this part, includes circumstances such as the following: Where a search for and/or collection of requested records from inactive storage, field offices, or other establishments is required; where a voluminous amount of data is involved; where information on other individuals must be separated or expunged from the record; or where consultations are required with other

agencies or with others having a substantial interest in the determination of the request.

§ 3b.221 Access of records to individuals concerned.

(a) Upon written request, either in person or by mail, to the appropriate system manager specified for each system of records, any individual may gain access to records or information in a system of records pertaining to him and filed under his individual name, or some other identifying particular, to review and to have a copy made of all or any portion thereof in a form comprehensible to him.

(b) A person of his own choosing may accompany the individual to whom the record pertains when the record is disclosed [see § 3b.222(e)].

(c) Before disclosure, the following procedure may apply:

Medical or psychological records will be disclosed directly to the individual to whom they pertain unless, in the judgment of the system manager, in consultation with a medical doctor or a psychologist, access to such records could have an adverse effect upon the individual. When the system manager and a doctor determine that the disclosure of such information could have an adverse effect upon the individual to whom it pertains, the system manager may transmit such information to a medical doctor named by the requesting individual.

(d) The system manager will provide a written acknowledgement of the receipt of a request for access within ten days of receipt (excluding Saturdays, Sundays, and legal public holidays). Such acknowledgement may, if necessary, request any additional information needed to locate the record which the individual may reasonably be expected to know, and may require appropriate identification pursuant to § 3b.222 of this part. No acknowledgment is required if access can be granted within the ten-day period.

(1) If access can be granted, the system manager will notify the individual, in writing, as to when, and whether access will be granted in person or by mail, so that access will be provided within twenty days of the receipt of the request (excluding Saturdays, Sundays, and legal public holidays). If the system manager is unable to provide access within twenty days of receipt of the request, he will inform the individual in writing as to the reasons therefor (for good cause shown), and when it is anticipated that access will be granted. If the expected date of access indicated in the written notification to the individual cannot be met, the system manager will advise the individual in writing of the delay, the reasons therefor (for good cause shown), and of a revised date when access will be granted. Such extensions will not exceed thirty days from receipt of the request (excluding Saturdays, Sundays, and legal public holidays).

(2) If access cannot be granted, the system manager will inform the individual, in writing, within twenty days of receipt of the request (excluding Saturdays, Sundays, and legal public holidays) of the refusal of his request; the reasons for the refusal; the right of the individual, within thirty days of receipt of the refusal, to request in writing a review of the refusal by the Chairman of the Federal Power Commission, 825 North Capitol Street, NE., Washington, D.C. 20426, or by an officer designated by the Chairman pursuant to § 3b.224(f); and the right of the individual to seek advice or assistance from the system manager in obtaining such a review.

(e) The Chairman, or officer designated pursuant to § 3b.224(f), not later than thirty days (excluding Saturdays, Sundays, and legal public holidays) from the date of receipt of the individual's request for review will complete such review, unless, for good cause shown, the Chairman, or designated officer, extends the thirty-day period in writing to the individual with reasons for the delay and the approximate date on which the review is expected to be completed. Such an extension will not exceed thirty-five days from receipt of the request for review (excluding Saturdays, Sundays and legal public holidays). The Chairman, or designated officer, will make one of the following determinations:

(1) Grant the individual access to the requested record and notify the individual, in writing, as to when, and whether access will be granted in person or by mail; or

(2) Inform the individual in writing of the refusal, the reasons therefor, and the right of the individual to seek judicial review of the refusal of his request for access.

(f)(1) The Commission will deny an individual access to the following records pertaining to him:

(i) Information compiled in reasonable anticipation of a civil action or proceeding;

(ii) Records listed in the **Federal Register** as exempt from certain provisions of the Privacy Act of 1974, pursuant to Subpart D of this Part; and

(iii) Records which may be required to be withheld under other statutory provisions.

(2) The Commission will not deny an individual access to a record pertaining to him because that record is permitted to be withheld from members of the public under the Freedom of Information Act, 5 U.S.C. 552, as amended.

(g) Disclosure of an original record will take place in the presence of the Commission representative having physical custody of the record.

§ 3b.222 Identification requirements.

The appropriate system manager specified for each system of records will require reasonable identification from individuals to assure that records in a system of records are disclosed to the proper person. Identification requirements will be consistent with the nature of the records being disclosed.

(a) Disclosure of records to the individual to whom the record pertains, or under whose name or some other identifying particular the record is filed, in person, requires that the individual show an identification card. Employee identification, a Medicare card, or a driver's license are examples of acceptable identification. Documents incorporating a picture and signature of the individual are preferred.

(b) For records disclosed by mail, the system manager will require certain minimum identifying information: name, date of birth, or the system's personal identifier if known to the individual. A comparison of the signatures of the requester and those in the record will be used to determine identity.

(c) If the system manager determines that the data in the record is so sensitive that unauthorized access could cause harm or embarrassment to the individual involved, a signed notarized statement asserting identity or some other reasonable means to verify identity will be required.

(d) If an individual can provide no suitable information or documents for identification, the system manager will require a signed statement from the individual asserting his identity and stipulating that the individual understands that knowingly or willfully seeking or obtaining access to records about an individual under false pretenses is a misdemeanor punishable by a fine of up to $5,000.

(e) The system manager will require an individual who wishes to be accompanied by another person when reviewing his records to furnish a signed written statement authorizing discussion of his records in the presence of the accompanying person.

(f) The appropriate identification requirements of this section may be required by a system manager from an

individual to whom a record does not pertain who seeks access to the record pursuant to § 3b.225 of this part.

(g) No individual will be denied notification of maintenance of a record pursuant to § 3b.220 or access to a record pursuant to §§ 3b.221 and 3b.224 for refusing to disclose a social security number.

(h) No verification of identity will be required of individuals seeking notification of or access to records which are otherwise available to a member of the public under the Freedom of Information Act, 5 U.S.C. 552, as amended.

§ 3b.223 Fees.

(a) Fees will be charged for the direct cost of duplication of records in a system of records when copies are requested by the individual seeking access to the records. Any person may obtain a copy of the Commission's schedule of fees by telephone, by mail or by coming in person to the office of the appropriate system manager who is responsible for the protection and accountability of the desired record. Requests for copies of requested records and payment therefor must be made to the system manager. Fees will only be charged for costs of $2 or more.

(b) Where practicable, self-service duplication of requested documents may also be made on duplicating machines by the person requesting the records, on a reimbursable basis to the system manager, in the presence of the Commission representative having physical custody of the record. Where data has been extracted from one of the Commission's systems of records on magnetic tape or disks, or computer files, copies of the records of these files may be secured on a reimbursable basis upon written request to the appropriate system manager. The fee will vary for each requirement, depending on size and complexity.

(c) No fee will be charged in the following instances:

(1) When the system manager determines that he can grant access to records only by providing a copy of the record through the mail because he cannot provide reasonable means for the individual to have access in person;

(2) For search and review of requested records to determine if they fall within the disclosure requirements of this part; and

(3) When the system manager makes a copy of the record as a necessary part of the process of making it available for review.

(d) Except for requests made by Government agencies, certification of copies of any official Commission record shall be accompanied by a fee of $2 per document.

§ 3b.224 Requests to amend records and disputes thereon.

(a) Upon written request, either in person or by mail, to the appropriate system manager specified for each system of records, any individual may amend records in a system of records pertaining to him and filed under his individual name or some other identifying particular. Such requests should contain identifying information needed to locate the record, a brief description of the item or items of information to be amended, and information in support of the request for amendment. The individual may obtain assistance in preparing his request to amend a record from the appropriate system manager.

(b) The system manager will provide a written acknowledgement of the receipt of a request to amend within ten days of receipt (excluding Saturdays, Sundays, and legal public holidays). Such an acknowledgement may, if necessary, request any additional information needed to make a determination which the individual may reasonably be expected to know, and verification of identity consistent with § 3b.222. The acknowledgement will clearly describe the request and advise the individual requesting the amendment when he may expect to be notified of action taken on the request. No acknowledgement is required if the request can be reviewed, processed, and the individual notified of compliance or denial within the ten-day period.

(c) The system manager will complete the review and advise the individual in writing of the results within twenty days of the receipt of the request (excluding Saturdays, Sundays, and legal public holidays). If the system manager is unable to complete the review within twenty days of the receipt of the request, he will inform the individual in writing as to the reasons therefor (for good cause shown) and when it is anticipated that the review will be completed. If the completion date for the review indicated in the acknowledgement cannot be met, the system manager will advise the individual in writing of the delay, the reasons therefor (for good cause shown), and of a revised date when the review may be expected to be completed. Such extensions will not exceed thirty days from receipt of the request (excluding Saturdays, Sundays, and legal public holidays). The system manager will take one of the following actions:

(1) Make the requested correction or amendment; so advise the individual in writing; and, where an accounting of the disclosure of the record was made pursuant to § 3b.220, advise all previous recipients of the record in writing of the fact that the amendment was made and the substance of the amendment [see § 3b.225(d)]; or

(2) Inform the individual in writing of the refusal to amend the record in accordance with the request; the reasons for the refusal including any of the standards which were employed pursuant to paragraph (d) of this section in conducting the review; the right of the individual, within thirty days of receipt of the refusal, to request in writing a review of the refusal by the Chairman of the Federal Power Commission, 825 North Capitol Street, NE., Washington, D.C. 20426, or by an officer designated by the Chairman pursuant to paragraph (f) of this section; and the right of the individual to seek advice or assistance from the system manager in obtaining such a review.

(d) In reviewing a record in response to a request to amend, the system manager and the Chairman, or the officer he designates pursuant to paragraph (f) of this section, shall assess the accuracy, relevance, timeliness and completeness of the record. They shall consider the record in terms of the criteria established in § 3b.201 of this Part.

(e) The Chairman, or officer designated pursuant to paragraph (f) of this section, not later than thirty days (excluding Saturdays, Sundays, and legal public holidays) from the date of receipt of the individual's request for review, will complete such review, unless, for good cause shown, the Chairman, or designated officer, extends the thirty-day period in a writing to the individual with reasons for the delay and the approximate date on which the review is expected to be completed. Such an extension will not exceed thirty-five days from receipt of the request for review (excluding Saturdays, Sundays, and legal public holidays). The Chairman, or designated officer, will make one of the following determinations:

(1) Make the correction in accordance with the individual's request and proceed as in paragraph (c)(1) of this section; or

(2) Inform the individual in writing of:

(i) The refusal to amend the record in accordance with the request,

(ii) The reasons therefor, including any of the standards which were employed pursuant to paragraph (d) of this section in conducting the review;

(iii) The right of the individual to file with the Chairman, or designated

officer, a concise written statement setting forth the reasons for his disagreement with the decision;

(iv) The fact that the statement of disagreement will be made available to anyone to whom the record is subsequently disclosed, together with the portion of the record which is disputed clearly noted, and, with, at the discretion of the Chairman, or designated officer, a brief statement by the Chairman, or designated officer, summarizing the reasons for refusing to amend the record;

(v) Where an accounting of the disclosure of the record was made pursuant to § 3b.226 of this part, the fact that prior recipients of the disputed record will be provided a copy of the individual's statement of disagreement, with the portion of the record which is disputed clearly noted, and, at the Chairman's or designated officer's discretion, the statement summarizing the refusal to amend [see § 3b.225(d)]; and

(vi) The individual's right to seek judicial review of the refusal to amend.

(f) The Chairman may designate, in writing, another officer of the Commission to act in his capacity for the purposes of this part. The officer will be organizationally independant of or senior to the system manager who made the initial determination and will conduct a review independent of the initial determination.

§ 3b.225 Written consent for disclosure.

(a) The Commission will not disclose any record which is contained in a system of records by any means of communication to any person, or to any other agency, unless it has the written request by, or the prior written consent of, the individual to whom the record pertains and under whose individual name, or some other identifying particular, the record is filed. The written request or consent should include, at a minimum, the general purposes for or the types of recipients to whom disclosure may be made. The fact that an individual is informed of the purposes for which information will be used when information is collected pursuant to § 3b.202(b)(2) will not constitute consent.

(b) A written request or consent is not required if the disclosure is:

(1) To those officers and employees of the Commission who have a need for the record in the performance of their duties;

(2) Required under the provisions of the Freedom of Information Act, 5 U.S.C. 552, as amended;

(3) For a routine use as defined in § 3b.2(g) of this part and as described in the public notice for each system of records;

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13 of the United States Code;

(5) To a recipient who has provided the appropriate system manager specified for each system of records with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable. The written statement of assurance should include at a minimum:

(i) A statement of the purpose for requesting the record; and

(ii) Certification that the record will only be used for statistical purposes.

In addition to stripping personally identifying information from records released for statistical purposes, the system manager will ensure that the identity of the individual cannot reasonably be deduced or determined by combining various statistical records, or by reference to public records or other available sources of information;

(6) To the National Archives of the United States, pursuant to 44 U.S.C. 2103, as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for the evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality, or his delegated official, has made a written request to the appropriate system manager specifying the particular portion of the record desired and the law enforcement activity for which the record is being sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual (not necessarily the individual to whom the record pertains), if, upon disclosure, notification of such is sent to the last known address of the individual to whom the record pertains;

(9) To either House of Congress, or to any committee or subcommittee thereof, on a matter within its jurisdiction;

(10) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction.

(c) When a record is disclosed under compulsory legal process and such process becomes a matter of public record, the system manager will make reasonable efforts to notify the individual to whom the record pertains. A notice will be sent to the individual's last known address noted in the Commission's files.

(d) The appropriate system manager shall notify all prior recipients of records, disclosure to whom an accounting was made pursuant to § 3b.226, of any amendments made to the records, including corrections, amendments and notations of dispute made pursuant to §§ 3b.224(c)(1) and 3b.224(e)(1) and (2)(v), within ten days of receipt of the corrected information or notation of dispute (excluding Saturdays, Sundays, and legal public holidays), except under unusual circumstances [see circumstances described in § 3b.220(d)].

(e) The content of the records disclosed under this section shall be maintained pursuant to the standards established in § 3b.201(c).

§ 3b.226 Accounting of disclosures.

(a) The appropriate system manager specified for each system of records will keep an accurate written account of all disclosures of records made to any person or to any other agency with the written consent or at the written request of the individual to whom the record pertains and pursuant to § 3b.225(b)(3)–(11). The account will include the following information:

(1) The date, nature, and purpose of each disclosure;

(2) The name and address of the person or agency to whom the disclosure is made; and

(3) A reference to the justification or basis upon which the release was made, including reference to any written document required as when records are released for statistical or law enforcement purposes pursuant to § 3b.225(b) (5) and (7).

(b) Each system manager will retain the accounting made under paragraph (a) of this section for at least five years from the date of disclosure for which the accounting is made, or the life of the record, which ever is longer.

(c) Except for disclosures made for law enforcement purposes pursuant to § 3b.225(b)(7), and unless the system of records has been exempted from this provision pursuant to Subpart D of this part, each system manager will make

the accounting made under paragraph (a) of this section available to the individual named in the record at his written request.

(d) The accounting of disclosures is not a system of records under the definition in § 3b.2(e) and no accounting will be maintained for disclosure of the accounting of disclosures.

§ 3b.227 Mailing lists.

An individual's name and address maintained by the Commission will not be sold or rented for commercial or other solicitation purposes not related to the purposes for which the information was collected, unless such sale or rental is specifically authorized by law. This provision shall not be construed to require the withholding of names or addresses otherwise permitted to be made public, as pursuant to the Freedom of Information Act, 5 U.S.C. 552, as amended.

Subpart D—Rules for Exemptions

§ 3b.250 Specific exemptions.

Any system of records maintained by the Commission may be exempt from certain provisions of the Privacy Act of 1974, and the appropriate sections of this part promulgated pursuant thereto, if the following requirements are met:

(a) The system of records falls within one or more of the following categories:

(1) Records subject to the provisions of 5 U.S.C. 552(b)(1) as classified material;

(2) Investigatory material compiled for law enforcement purposes [except to the extent that the system is more broadly exempt under 5 U.S.C. 552a(j)(2) covering records maintained by an agency whose principal function pertains to the enforcement of criminal laws] provided, however, that is such record is used as a basis for denying an individual any right, privilege, or benefit to which the individual would be entitled in the absence of that record, the individual must be granted access to that record except to the extent that access would reveal the identity of a confidential source who furnished the information to the Government under an express promise that his identity would be held in confidence, or, prior to September 27, 1975, under an implied promise that his identity would be held in confidence;

(3) Records maintained to provide protective services to the President of the United States or other individuals pursuant to 18 U.S.C. 3056;

(4) Records required by statute to be maintained and used solely as statistical records;

(5) Investigatory material compiled solely for determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that his identity would be held in confidence, or, prior to September 27, 1975, under an implied promise that his identity would be held in confidence;

(6) Testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process; or

(7) Material used to evaluate potential for promotion in the armed services, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished the information to the Government under an express promise that his identity would be held in confidence, or, prior to September 27, 1975, under an implied promise that his identity would be held in confidence;

(b) Publication in the **Federal Register** is made in accordance with the requirements (including general public notice) of the Administrative Procedure Act, 5 U.S.C. 553, to include, at a minimum:

(1) The name of the system of records;

(2) The specific provision or provisions of the Privacy Act of 1974, and the appropriate sections of this Part promulgated pursuant thereto, from which the system is to be exempted; and

(3) The reasons for the exemption; and

(c) The system of records is exempted from one or more of the following provisions of the Privacy Act and the appropriate sections of this part promulgated pursuant thereto:

(1) 5 U.S.C. 552a(c)(3); 18 CFR 3b.226(c)—Making the accounting of disclosures available to the individual named in the record at his request;

(2) 5 U.S.C. 552a(d); 18 CFR 3b.221, 3b.224—Granting an individual the right of access to his records and permitting him to request amendment of such;

(3) 5 U.S.C. 552a(e)(1); 18 CFR 3b.201(a)—Requiring maintenance of relevant and necessary information in a system of records as required by statute or executive order of the President;

(4) 5 U.S.C. 552a(e)(4)(G); 18 CFR 3b.3(a)(8)—Requiring a description of procedures for determining if a system contains a record on an individual in the public notice of the system of records;

(5) 5 U.S.C. 552a(e)(4)(H); 18 CFR 3b.3(a)(9)—Requiring a description of procedures for gaining access to and contesting the contents of a record in the public notice of the system of records;

(6) 5 U.S.C. 552a(e)(4)(I); 18 CFR 3b.3(a)(10)—Requiring a description of the categories of the sources of records in the public notice of the system of records; and

(7) 5 U.S.C. 552a(f); 18 CFR 3b.220–3b.224—Requiring agency rules for determining if an individual is the subject of a record, for handling requests for access, for granting requests for access, for amending records, and for fees.

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Office of the Secretary

System Number and Name

Office of the Assistant Secretary for Management and Budget (OASMB)

Note: Asterisks refer to systems that are Department wide with Office of the Secretary policy guidance, but with local operational control.

*09-90-0001 Telephone Directory/Locator System, HHS/OS/ASMB/OMAS.
*09-90-0005 Safety Management Information System (HHS Accident, Injury, and Illness Reporting System), HHS/OS/ASMB/Office of Safety and Occupational Health.
*09-90-0023 Department Parking Control Policy, HHS/OS/ASMB/FE.
*09-90-0024 Accounting Records of Payments to Individuals From Agency and Regional Financial Management and Disbursing Office, HHS/OS/ASMB 1.
09-90-0025 Central Registry of Individuals Doing Business with, HHS/OS/ASMB 2.

Office of the Inspector General (OIG)

09-90-003 Investigative Files of the Inspector General, HHS/OS/OIG.
09-90-0078 Temporary Matching File, HHS/OS/OIG
09-90-0079 Welfare Fraud Detection File, HHS/OS/OIG.

Office of the Assistant Secretary for Legislation (OASL)

09-90-0027 Congressional Correspondence Unit, HHS/OS/ASL.
09-90-0072 Congressional Grants Notification Unit, HHS/OS/ASL.

Office of the Assistant Secretary for Public Affairs (OASPA)

*09-90-0028 Biographics and Photographs of HHS Officials, HHS/OS/ASPA.
*09-90-0058 Freedom of Information Case File and Correspondence Control Index, HHS/OS/ASPA/FOIA
09-90-0085 Demonstration Project: Application for Assistance in Order to Comment on Proposed Regulations (HHS/OS/OASPA)

Executive Secretariat (ES)

09-90-0037 Secretary's Correspondence Control System, HHS/OS/ES
09-90-0038 Secretary's Official Files, HHS/OS/ES.
09-90-0080 The Secretary's Advisory Committee Candidate Files, HHS/OS/ES.

Office of Consumer Affairs (OCA)

09-90-0041 Consumer Mailing List HHS/OS/OCA.
09-90-0046 Consumer, Complaint Correspondence System, HHS/OS/OCA.

Office for Civil Rights (OCR)

09-90-0050 Case Information Management System, HHS/OS/OCR.
09-90-0051 Complaint Files and Log, Office of Management and Administration, HHS/OS/OCR/OMA.

Office of General Counsel (OGC)

09-90-0062 Administrative Claims, HHS/OS/OGC.
09-90-0064 Litigation Files, Administrative Complaints, and Adverse Personnel Actions, HHS/OS/OGC.
09-90-0065 Conflict of Interest—Standards of Conduct Records, HHS/OS/OGC.
09-90-0066 OGC Attorney Applicant Files, HHS/OS/OGC.
09-90-0067 Invention Reports Submitted to the Department of Health, and Human Services by its Employees, Grantees and Fellowship Recipients, and Contractors, HHS/OS/OGC.
09-90-0068 Federal Private Relief Legislation, HHS/OS/OGC.
09-90-0071 Social Security Code Cards, HHS/OS/OGC.

Office of Child Support Enforcement (OCSE)

09-90-0074 Federal Parent Locator System, HHS/OCSE.

Office of Assistant Secretary for Planning and Evaluation (OASP&E)

09-90-0081 Michigan Longitudinal Study. Also called The Panel Study of Income Dynamics, HHS/OS/OASPE.
09-90-0082 Pennhurst Longitudinal. Also called Court ordered deinstitutionalization of Pennhurst, HHS/OS/OASPE.
09-90-0086 Medicare Mental Health Demonstration Evaluation (MMHDE), HHS/OS/ASPE.
09-90-0087 Recipient Survey for the Monthly Reporting and Retrospective Accounting Study, HHS/OS/ASPE.
09-90-0088 National Long-Term Care Channeling Demonstration (NLTCCD), DHHS/OS/ASPE.

Region I, Administration Support Center (ASC)

09-90-0075 MBTA Prepaid Pass Program Participants, HHS/ROL/ARD.

Office of the Assistant Secretary for Management and Budget (OASMB)

09-90-0001

System name: Telephone Directory/Locator System HHS-OS-ASMB-OMAS

Security classification: None.

System location: Operating offices and Facility Complexes of the Department—Employee Locators and Offices of Administrative or Management Services.

Categories of individuals covered by the system: Current employees of the Department and vendor or other Federal employees located in Department operating offices and facility complexes.

Categories of records in the system: Name, title, agency office address, agency mailing address telephone number, standard administrative code, and social security number.

Authority for maintenance of the system: 5 U.S.C. 301, 40 U.S.C. 486(c).

Purpose(s):

The records are used to develop and maintain current employee locator and directory listings. The locator listings are used by the HHS information centers, mailrooms, and others specifically for the purpose of locating employees and for routing mail. The directory listings are used to produce departmental telephone directories on an as needed basis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where the defendent is (a) the Department, any component of the Department, or any employee of the department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department of any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Variously stored in card files, computer printouts, paper forms, magnetic tape.

Retrievability: Alphabetically by employee name in certain instances also be agency and/or title. Some large systems use the SSN as control to update, change or delete information on individuals no longer within this system of Records.

Safeguards: Only authorized personnel have access to master lists which contain social security numbers.

Retention and disposal: Retained as long as individual is employed by or associated with the Department, then information deleted from files by appropriate method.

System manager(s) and address: Telecommunications management officials of the Department—See Appendix.

Notification procedure: Direct inquiries to appropriate systems manager indentified in Appendix.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Individual employee.

Systems exempted from certain provisions of the act: None.

Appendix

Department policy coordinator:

Telecommunications Management Officer, Department of Health and Human Services, Office of the Assistant Secretary for Management and Budget, Office of Management Analysis and Systems, 200 Independence Avenue, S.W., Washington, DC 20201.

Operating System Managers:

Office of the Secretary, Deputy Director, Division of Administrative Services, Office of Management Services, 330 Independence Ave., S.W., Room 1739, Washington, DC 20201.

Human Development Services, Director, Division of Administrative Services, 200 Independence Ave., S.W., Room 309B, Washington, DC 20201.

Public Health Service, Chief, Communications Section, Administrative Services Center, 5600 Fishers Lane, Rockville, MD 20857.

Public Health Service, Center for Disease Control, Chief, Management Services Branch, Altanta, GA 30333.

Public Health Service, Food and Drug Administration, Chief, Services Management Section, Division of Management Services, 5600 Fishers Lane, Rockville, MD 20857.

Public Health Service, Chief, General Services Branch, Bureau of Medical Services, 6525 Belcrest Road-FCB 3, Rm. 1100, Hyattsville, MD 20782.

Public Health Service, Chief, General Services Branch, USPHS Hospital, 3100 Wyman Park Drive, Baltimore, MD 21211.

Public Health Service, Chief, General Services Branch, USPHS Hospital, 77 Warren Street, Boston (Brighton), MA 02135.

Public Health Service, Chief, General Services Branch, USPHS Hospital, Carville, LA 70721.

Public Health Service, Chief, General Services Branch, USPHS Hospital, 2050 Space Park Dr., Nassau Bay, TX 77058.

Public Health Service, Chief, General Services Branch, USPHS Hospital, 210 State Street, New Orleans, LA 70118.

Public Health Service, Chief, General Services Branch, USPHS Hospital, 6500 Hampton Blvd., Larchmont, Norfolk, VA 23508.

Public Health Service, Chief, General Services Branch, USPHS Hospital, 15th Avenue and Lake Street, San Francisco, CA 94118.

Public Health Service, Chief, General Services Branch, USPHS Hospital, 1131 4th Avenue South Seattle, WA 98144.

Public Health Service, Chief, General Services Branch, USPHS Hospital, Bay Street and Vanderbilt Avenue, Staten Island, NY 10304.

Public Health Service, Director, USPHS Outpatient Clinic, 1600 Clifton Road, N.E., Atlanta, GA 30333.

Public Health Service, Director, USPHS Outpatient Clinic, Mary E. Switzer Building, 4th and C Streets, S.W., Washington, DC 20201.

Health Care Financing Administration, Chief, Facilities Management Branch, 1710 Gwynn Oak Ave., Baltimore, MD 21207.

Social Security Administration, Communications Systems Branch, 6401 Security Boulevard Room 1-N-9—Annex, Baltimore, MD 21235.

Region I, HHS Director, Division of Administrative Services, JFK Federal Building, Boston, MA 02203.

Region II, HHS Director, Division of Administrative Services, 26 Federal Plaza, New York, NY 10007.

Region III, HHS Director, Division of Administrative Services, 3535 Market Street, Philadelphia, PA 19101.

Region IV, HHS Director, Division of Administrative Services, 101 Marietta Tower Suite 1502, Atlanta, GA 30323.

Region V, HHS Director, Division of Administrative Services, 300 South Wacker Drive, Chicago, IL 60606.

Region VI, HHS Director, Division of Administrative Services, 1200 Main Tower, Dallas, TX 75202.

Region VII, HHS Director, Division of Administrative Services, 601 East 12th Street, Kansas City, MO 64106.

Region VIII, HHS Director, Division of Administrative Services, 1961 Stout Street, Denver, CO 80294.

Region IX, HHS Director, Division of Administrative Services, 50 United Nations Plaza, San Francisco, CA 94102.

Region X, HHS Director, Division of Administrative Services, 1321 Second Avenue, Seattle, WA 98101.

09-90-0005

System name:

Safety Management Information System (HHS Accident, Injury and Illness Reporting System). HHS/OS/ASMB/OFE/OSOH

Security classification: None.

System location: At Departmental Regional and Headquarters facilites (see Appendix

Categories of individuals covered by the system: 1. HHS Employees, including both civilian and commissioned corps personnel, who are involved in an accident which arises out and in the course of their employment whether occurring on HHS premises or not and results in:

a. A fatality.
b. Lost workdays beyond the day in which the accident occurred.
c. Nonfatal injuries which result in transfer to another job, termination of employment, medical treatment other than first aid, loss of consciousness or restriction of work or motion.
d. A possible tort claim.
e. A claim for compensation.
f. Property damage in excess of 50.00.
g. Interrupts or interferes with the orderly progress of work of other employees.
h. Radiation over exposure.
i. Biological exposure resulting in lost time of accidental release of biologicals where the public may be over-exposed.

2. Visiting scientists, contractor personnel, hospitalized patients, out-patients, employees of other Federal agencies, state or local governments or members of the public who suffer injury, illness or property damage on or in HHS premises or as a result of HHS activities.

Categories of records in the system: This system consists of a variety of information and supporting documentations resulting from

the reporting and investigation of accidents which have resulted in injury, illness, property damage or the interruption of interference with the orderly progress of work. The records contain information about individuals involved in or experiencing accidents including but not limited to the severity of the injury, whether consciousness was lost, the type of injury, culmination of any injury, days lost from work if any, the nature of the injury, illness or disease, the body part affected, causal factors, weather factors, agency of accident, whether unsafe mechanical, physical, or personal acts or factors were involved, the accidents area of origin and if fire was involved, the type and form of materials involved. Property damage (both public and private) is noted through the property sequence number, who owned the property involved, property damage and actual or estimated monetary loss, the HHS installation number if appropriate and the year of manufacture or construction if appropriate. Identifiers relating to a particular accident include the organization, case number assigned, date and time of occurrence, state or territory, site, type and classification of accident, estimated amount of tort claims if appropriate, name of individual(s) involved, the social security number, sex, age, grade series and level, CSC series, address, other Departments notified of accident, duty status, activity at time of accident and time on duty before accident. Management's evaluation and corrective action taken or proposed is also noted.

Authority for maintenance of the system: Section 19 of the Occupational Safety and Health Act of 1970 (PL 91-596); U.S.C. 7902; 29 CFR Part 1960; Executive Order No. 12196.

Purpose(s):

The purpose of the system is to comply with the reporting and statistical analyses requirements of section 19 of the Occupational Safety and Health Act of 1970 (PL 91-596) as amended (29 U.S.C. 668); U.S.C. 7902; 29 CFR Part 1960; Executive Order 12196 and such other purposes as are described under routine uses of this system notice. The Safety Management Information System is a Department-wide system utilized by all organizational components of the Department. Thus in addition to the routine uses subsequently noted in this system notice there may be other ad hoc disclosures within the Department on an official business "need to know" basis.

a. Establish a written record of the causes of accidents.

b. Provide information to initiate and support corrective or preventive action.

c. Provide statistical information relating to accidents resulting in occupational injuries, illnesses, and/or property damage.

d. Provide management with information with which to evaluate the effectiveness of safety management programs.

e. Provide the means for complying with the reporting requirements of Section 19 of the Occupational Safety and Health Act of 1970 and such other reporting requirements as may be required by legislative or regulative requirements.

f. Provide such other summary descriptive statistics and analytical studies as necessary in support of the function for which the records are collected and maintained including general requests for statistical information without personal identification of individuals.

g. Information in these records is used by or may be disclosed to: a. The Office of Safety and Occupational Health, Office of the Secretary, HHS in the review of accident experience data to determine the adequacy of corrective actions, the effect of codes, standards and guides, the consolidation, summarization and dissemination of accident experience data throughout HHS and other Government Departments and agencies as needed or required. b. The supervisor, administrative officer or other official initiating and accident report, including each succeeding reviewing official in the chain of command through which the report passes to insure that corrective action, as needed and appropriate, is taken. c. Appropriately appointed Safety Directors, Officers, or others with safety responsibilities within the Department in the verifying, assembling, analyzing, summarizing and disseminating data concerning the accident experience in their areas of responsibility and the initiation of appropriate corrective action.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A. To request from a Federal, state, local agency or private sources information relevant to the investigation of an accident and/or corrective action.

B. To respond to an inquiry from a member of Congress made on behalf of a constituent.

C. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim if successful, is likely to directly affect the operations of the Department of any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

D. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

E. In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are or may be maintained or magnetic tapes, punchcards, lists, forms, discs, computer storage, in file folders, binders and index cards.

Retrievability: 1. At the Department level, the system is completely computerized with no other records normally maintained or retained in the Office of Safety and Occupational Health. Since individual indentifiers such as name, case number, and social security number are not within the computer storage banks, special programming would be required to extract individual records based on case number. Normal output consists of statistical reports and surveys including those required by the Department of Labor and Statistical Analysis in support of the Department occupational safety and health program for dissemination to the Principal Operating Components, Regions and Staff Offices.

2. The Principal Operating Components of the Department, their sub-components, Regional Offices and Staff Offices may maintain original or copies of the accident reports and supporting documentation by name, social security number, case number or cross reference.

Safeguards: Access to and use of those records is made available to those personnel having a legitimate need for the information (those whose duties require review or access) including inspecting or evaluating personnel. Records, which under the law, may not be disclosed such as information pertinent to national security or trade secrets are maintained separately, adequately safeguarded and released only in accordance with the law. When there is doubt regarding the release of information, the matter will be referred, in advance of release, to the Office of the General Counsel, HHS.

Retention and disposal: All accident reports, records, logs, and other information relating to an accident are retained by the Principal Operating Components and their agencies, the Regional Offices and the Office of the Secretary for at least five years following the end of the calendar year in which the accident occurred. Specific occupational safety and health standards (such as the standards, covering the handing of carcinogenic chemicals) may be required to be kept for up to twenty years. Records may be retained indefinitely.

System manager(s) and address: Director, Office of Safety and Occupational Health, Department of Health and Human Services, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Individuals wishing to inquire whether this system of records contains information about them should address their inquiries to one of the following as appropriate:

1. If employed or formerly employed in a HHS Regional Office, the Regional Occupational Safety and Health Manager of the Region involved (see list and addresses under appendix).

2. If employed or formerly employed in a HHS Principal Operating Component or sub-agency, a staff office or the Office of the Secretary, the Occupational Safety and Health Manager of the component where employed with the exception of the Food and Drug Administration (see list and addresses under appendix). The contact for the Food and Drug Administration is:

Privacy Act Coordinator, Food and Drug Administration, 5600 Fishers Lane, Rockville, Maryland 20857.

Individuals requesting information about this system of records should provide their full name, social security number, name and address of office and agency in which currently or formerly employed and the accident(s) case number if known.

Record access procedures: Individuals wishing to gain access to or contest their records should contact the following in person or writing as appropriate; with the exception of Food and Drug Administration. See "Noufication" above. 1. If employed or formerly employed in an HHS Regional Office, the Regional Occupational Safety and Health Manager of the Region involved (see list and addresses under appendix). 2. If employed or formerly employed in an HHS Principal Operating Component or sub-agency, a staff office or the Office of the Secretary, the Occupational Safety and Health Manager of the component where employed. (See list and addresses under appendix). Individuals requesting information in this system of records should provide their full name, social security number (on a purely voluntary basis), case number if known, time and brief description of the accident in which they were involved and the name and address of office in which employed. (Access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

The information in this system is obtained from the following sources: 1) the individual to whom the record pertains; 2) witnesses to the accident; 3) investigation officials (Federal, state, local); 4) medical personnel seeing the individual as a result of the accident; 5) supervisory personnel; 6) reviewing officials; 7) personnel offices; 8) investigative material furnished by Federal, state, or local agencies; 9) on site observations.

Systems exempted from certain provisions of the act: None.

Appendix

Region I, HHS Regional Safety and Occupational Health Manager, John F. Kennedy Federal Building—Room 1503, Government Center, Boston, Massachusetts 02203.

Region II, HHS Regional Safety and Occupational Health Manager, Federal Building—Room 3835, 26 Federal Plaza, New York, New York 10007.

Region III, HHS Regional Safety and Occupational Health Manager, 3535 Market Street, Philadelphia, Pennsylvania 19101.

Region IV, HHS Regional Safety and Occupational Health Manager, Suite 1503—101 Marietta Tower, Atlanta, Georgia 30323.

Region V, HHS Regional Safety and Occupational Health Manager, 300 South Wacker Drive—35th Floor, Chicago, Illinois 60606.

Region VI, HHS Regional Safety and Occupational Health Manager, 1200 Main Tower Bldg., Dallas, Texas 75202.

Region VII, HHS Regional Safety and Occupational Health Manager, 601 East 12th Street—Room 566, Kansas City, Missouri 64106.

Region VIII, HHS Regional Safety and Occupational Health Manager, 1961 Stout Street—Room 11037, Denver, Colorado 80202.

Region IX, HHS Regional Safety and Occupational Health Manager, Federal Office Building—Room 8, 50 United Nations Plaza, San Francisco, California 94102.

Region X, HHS Regional Safety and Occupational Health Manager, Arcade Plaza—Room 6003, 1321 Second Avenue, Seattle, Washington 98101.

Health Care Financing Administration: Safety Officer, A-1 Gwynn Oak Building, 1710 Gwynn Oak Avenue, Woodlawn, Md. 21207.

Social Security Administration: Director, Occupational Health Management, Rm. 8, Second Floor, Link Bldg., 6401 Security Boulevard, Baltimore, Maryland 21235.

Office of the Secretary, HHS Safety Officer, 1073 HHS-N, Department of Health and Human Services, 330 Independence Avenue SW., Washington, D.C. 20201.

Public Health Service: Director, Division of Health Facilities Planning, Room 18-42—Parklawn Building, 5600 Fishers Lane. Rockville, Maryland 20857.

Alcohol, Drug Abuse, and Mental Health Administration: Safety Officer, Room 12C26—Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857.

Center for Disease Control: Chief, Office of Biosafety, Bldg. 4—Room 232, 1600 Clifton Road NE., Atlanta, Georgia 30333.

Food and Drug Administration: Privacy Act Coordinator, Rockville, Maryland 20857.

Health Resources Administration: Safety Officer, Rm. 129, Federal Center Bldg. 2, 3700 East-West Highway, Hyattsville, Md. 20782.

National Institutes of Health: Associate Director, Environmental Health and Safety, Division of Research Sciences, Room 4051—Building 12A, 9000 Rockville Pike, Bethesda, Maryland 20014.

09-90-0023

System name: Departmental Parking Control Policy. HHS/OS/ASMB OFE.

Security classification:

None.

System location: Director, Office of Facilities Engineering, Room 4700 North Building, HHS/Office of the Secretary, 330 Independence Ave., S.W., Washington, D.C. 20201. Offices of Manager for Parking Control at HHS facilities where parking is provided.

Categories of individuals covered by the system: All HHS employees as well as any carpool member utilizing DHHS parking facilities.

Categories of records in the system: This system includes the following information on all persons applying for a parking permit: Name, office room number, office phone number, agency, home address, and automobile license number.

Authority for maintenance of the system: 63 Stat. 377; 41 CFR 101-20.111.

Purpose(s):

To establish policy governing the acquisition and allocation of Federal parking facilities and the establishment and determination of charges to be paid for the use of such parking by Federal employees, contractor employees and other facility tenants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in binders in file cabinets.

At FDA Records are stored on magnetic tapes and discs.

Retrievability:

Records are filed alphabetically. The purpose of the Departmental Parking Policy is to provide standards for apportionment and assignment of parking spaces on Department-managed and Department-controlled property and on property assigned to the Department by GSA or any other Agency and to allocate and check parking spaces assigned to government vehicles, visitors, handicapped personnel, key personnel, car-pools, and others.

Safeguards:

Access to and use of these records are limited to personnel whose official duties require such access at FDA Security Safeguards meet the requirements of Part 6, ADP System Security, of HHS's ADP System Manual A mini computer is maintained in a secured area with access limited to authorized personnel. Tapes and disc's are stored in locked cabinets.

Retention and disposal:

Superseded policy materials are maintained by the Director, Office of Facilities Engineering of historical purposes; Records at other HHS locations are maintained until the Parking Control purpose has been met and the records are then destroyed.

System manager(s) and address:

Director, Office of Facilities Engineering, Room 4700 North Building, HHS/Office of the Secretary, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure:

Access to these records may be obtained by request in writing to: Office of Manager for Parking Control at HHS facility where the HHS parking is provided.

Record access procedures:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. [These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Information in this system comes from reports from OS Staff OPDIVS and Regions, GSA-Federal Management circulars and Federal Property Management Regulations.

Systems exempted from certain provisions of the act: None.

09-90-0024

System name: Accounting records of Payments to Individuals from Agency and Regional Financial Management and Disbursing Offices. HHS OS ASMB 1.

Security classification: None.

System location: See appendix 1.

Memoranda copy of claims submitted for reimbursement of travel and other expenditures while on official business may also be maintained at the administrative office of the HHS employee.

Categories of individuals covered by the system: Persons authorized to travel on official HHS business; persons awarded an HHS grant, contract or loan; persons authorized emergency salary advances; and consultants furnishing administrative and miscellaneous services.

Categories of records in the system: Name, identification number, address, purpose of payment, accounting classification and amount paid.

Authority for maintenance of the system: Budget and Accounting Act of 1950 (P.L. 81-784).

Purpose(s):

These records are an integral part of the accounting systems at principal operating component, agency and regional office locations. The records are used to keep track of all payments to individuals, exclusive of salaries and wages, based upon prior entry into the systems of the official commitment and obligation of government funds. In the event of an overpayment to an individual, the record is used to establish a receivable record for recovery of the amount claimed. The records are also used internally to develop reports of taxable income on certain travel related payments to the Internal Revenue Service and to state and local taxing officials. Direct access to these records is restricted to authorized persons in performance of official duties. This is a Department-wide notice covering payments made from all locations listed in Appendix 1.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the Treasury Department for check preparation; to members of Congress concerning a federal financial assistance program.

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

In the event of litigation where the defendant is (a) the Department any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department of any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effect defense provided such disclosure is compatible with the purpose for which the records were collected. Disclosure may be made to a congressional office made from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy documents are manually filed at agency and regional office sites; and on disc pack and magnetic tape at central computer sites.

Retrievability: This varies according to the particular operating accounting system within the Agency and Regional Office. Usually the hard copy document is filed by name within accounting classification. Computer records may be indexed by social security number and voucher number. Intra-departmental uses and transfers concern the validation and certification for payment, and for HHS internal audits.

Safeguards: Minimum safeguards to insure integrity of record, and that required to provide protection against loss by accident of carelessness.

Retention and disposal: Records are purged from automated files once the accounting purpose has been served; printed copy and manual documents are retained and disposed of in accord with General Accounting Office principles and standards.

System manager(s) and address: See appendix 2.

Notification procedure: Inquiries are to be made, either in writing or in person, to the organizations listed under "Location" in appendix 1, with the exception of Food and Drug Administration contact:

FDA Privacy Coordinator (HF–50), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD. 20857.

Given name and social security number, purpose of payment (travel, grant, etc.) and, if possible, the agency accounting classification.

Record access procedures: Same as notification procedures. Requesters should also reasonable specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR. Sections 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably indentity the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

Travel vouchers submitted by the individual; grant, contract or loan award document; consultant invoice of services rendered; and application for travel advance.

Systems exempted from certain provisions of the act: None.

Appendix 1

Location:

Payments to Individuals records are located at the following HHS Regional Offices:

Regional Office 01, John F. Kennedy Federal Bldg., Government Center. Boston, MA 02203.

Regional Office 02, 26 Federal Plaza, New York, NY 10007.

Regional Office 03, 3535 Market Street, P.O. Box 13716, Philadelphia, PA 19101.

Regional Office 04, 101 Marietta Tower, Atlanta, GA 30323.

Regional Office 05, 300 South Wacker Drive, Chicago, IL 60606.

Regional Office 06, 1200 Main Tower, Dallas, TX 75202.

Regional Office 07, Federal Office Bldg., 601 East 12th Street, Kansas City, MO 64106.

Regional Office 08, 19th & Stout Streets, Denver, CO 80294.

Regional Office 09, Federal Office Buildings, 50 United Nations Plaza, San Francisco, CA 94102.

Regional Office 010, Arcade Plaza Bldg., 1319 Second Avenue, Seattle, WA 98101.

Payments to Individuals records are located at the following HHS Agency Headquarters and Field Offices:

Office of the Secretary (to include Office of Human Resources records), Hubert H. Humphrey Bldg., 200 Independence Ave., SW., Div. of Accounting Operations, Washington, DC 20201.

Health Services Adm., Office of Fiscal Services, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20852.

Health Services Adm., U.S. Public Health Service Hospital, 77 Warrent Street, Brighton, Boston, MA 02135.

Health Services Adm., U.S. Public Health Service Hospital, Bay and Vanderbilt Streets—Stapleton, Staten Island, NY 10304.

Health Services Adm., U.S. Public Health Service Hospital, 3100 Wyman Park Drive, Baltimore, MD 21211.

Health Services Adm., U.S. Public Health Service Hospital, 6500 Hamption Boulevard—Larchmont, Norfolk, VA 23508.

Health Services Adm., Addiction Research Center, Leestown Pike—Box 2000, Lexington, KY 40501.

Health Services Adm., U.S. Public Health Service Hospital, Carville, LA 70721.

Health Services Adm., U.S. Public Health Service Hospital, 210 State Street, New Orleans, LA 70118.

Health Services Adm., U.S. Public Health Service Hospital, 4400 45th Avenue, North Galveston, TX 77550.

Health Services Adm., PHS Indian Health Area Office, Federal Office Bldg. and U.S. Court House, 500 Gold Avenue SW., Albuquerque, NM 87101.

Health Services Adm., PHS Indian Health Area Office, 338 Post Office and Court House Bldg., Oklahoma City, OK 73102.

Health Services Adm., Aberdeen Area Office, Indian Health Service, Federal Bldg., Aberdeen, SD 57401.

Health Services Adm., 03 at 7th West Central Avenue, Post Office Box 2143, Billings, MT 59103.

Health Services Adm., U.S. Public Health Service Hospital, 15th Avenue and Lake Street, San Francisco, CA 94118.

Health Services Adm., PHS Indian Health Area Office, 801 East Indian School Road, Phoenix, AZ 85014.

Health Services Adm., U.S. Public Health Service Hospital, 1131 14th Avenue, South, Post Office Box 3145, Seattle, WA 98114.

Health Services Adm., Alaska Area Native Health Service, Post Office Box 7–741, Anchorage, AK 99510.

Public Health Service, Nat'l Institute for Occupational Safety and Health, CDC, 532 U.S. Post Office and Courthouse Bldg., Cincinnati, OH 45202.

Food and Drug Adm., HFA–120, 5600 Fishers Lane, Rockville, MD 20857.

Food and Drug Adm., 880 W. Peachtree St., NW., Atlanta, GA 30309.

Food and Drug Adm., 585 Commercial Street, Boston, MA 02109.

Food and Drug Adm., 599 Delaware Avenue, Buffalo, NY 14202.

Food and Drug Adm., Room 700—Federal Office Bldg., 850 3rd Avenue (at 30th Street), Brooklyn, NY 11232.

Food and Drug Adm., 20 Evergreen Pl., East Orange, NJ 07018.

Food and Drug Adm., Room 1204, U.S. Customhouse, 2nd and Chestnut Streets, Philadelphia, PA 19106.

Food and Drug Adm., 900 Madison Avenue, Baltimore, MD 21201.

Food and Drug Adm., P.O. Box S–4427, San Juan, P.R. 00905.

Food and Drug Adm., Room 1222, Main Post Office Bldg., 433 West Van Buren Street, Chicago, IL 60607.

Food and Drug Adm., 1560 East Jefferson Avenue, Detroit, MI 48207.

Food and Drug Adm., 1141 Central Parkway, Cincinnati, OH 45202.

Food and Drug Adm., 240 Hennepin Avenue, Minneapolis, MN 55401.

Food and Drug Adm., 3032 Bryan Street, Dallas, TX 75204.

Food and Drug Adm., Room 222, U.S. Customhouse Building, 423 Canal Street, New Orleans, LA 70130.

Food and Drug Adm., National Center for Toxicological Research, Jefferson, AR 72079.

Food and Drug Adm., 1009 Cherry Street, Kansas City, MO 64106.

Food and Drug Adm., Room 1002, U.S. Courthouse and Courthouse Building, 1114 Market Street, St. Louis, MO 63101.

Food and Drug Adm., Room 573, New Customhouse Building, 721 19th Street, Denver, CO 80202.

Food and Drug Adm., Room 518, Federal Office Building, 50 Fulton Street, San Francisco, CA 94102.

Food and Drug Adm., 1521 West Pico Boulevard, Los Angeles, CA 90015.

Food and Drug Adm., 5003 Federal Office Bldg., 909 First Avenue, Seattle, WA 98174.

National Institutes of Health, Operations Accounting Branch, Bldg. 31, Room B1B07, 9000 Rockville Pike, Bethesda, MD 20014.

National Institutes of Health, Rocky Mountain Laboratory, Hamilton, MT 59840.

National Institutes of Health, Public Health Hospital, 15th Avenue and Lake Street, San Francisco, CA 94118.

Alcohol, Drug Abuse, and Mental Health Administration, Saint Elizabeths Hospital, Finance Office, Administration Bldg., Washington, DC 20032.

Social Security Administration, Program and Fiscal Operations Offices, Post Office Box 47, Baltimore, MD 21203.

Social Security Administration, Bureau of Supplemental Security Income, 4-M-5 Annex Bldg., Baltimore, MD 21235.

Social Security Administration, Bureau of Disability Payments, 1506 Woodlawn Drive 1J2, Baltimore, MD 21241.

Social Security Administration, Northeastern Program Center, 9605 Horace Harding Expressway, Flushing, NY 11368.

Social Security Administration, Midatlantic Program Center, 401 North Broad Street, Philadelphia, PA 19108.

Social Security Administration, Southeastern Program Center, 225 Third Avenue North, Birmingham, AL 35285.

Social Security Administration, Great Lakes Program Center, 165 North Canal Street, Chicago, IL 60606.

Social Security Administration, MidAmerica Program Center, 601 East 12th Street, Kansas City, MO 64106.

Social Security Administration, Western Program Center, Post Office Box 100, San Francisco, CA 94101.

Health Care Financing Administration, Gwynn Oak Building, 1710 Gwynn Oak Avenue, Baltimore, MD 21235.

For Payments to Individuals records at the following central payments office for grants and contracts:

Office of the Secretary, Federal Assistance Financing Branch, Box 6021, Rockville, MD 20857.

Appendix 2

System Manager, Departmental principles and standards concerning the system of records are the responsibility of:

Department of Health, and Human Services, Assistant Secretary for Management and Budget.
Office of the Secretary, Room 510A, Humphrey Building, Washington, DC 20201.

Operational responsibilities are as follows: For Payments to Individual records at Departmental and Regional Office:

HHS, Office of Secretary and Regional Offices, Office of Secretary, Deputy Assistant Secretary, Finance, Room 70D1, Humphrey Building, Washington, DC 20201.
For payments to Individual records at Principal Operating Component Offices:

Health (HSA, CDC, FDA, NIH, ADAMHA, HRA, ASH)

Public Health Service, Director, Division of Financial, Management, Room 18-17, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857.

Social Security Administration, Director, Office of Financial Management, Room 840 Annex Social Bldg., Baltimore, MD 21235.

Office of Human Development, Services Director, Office of Management Services, Room 309D, HHH Building, 200 Independence Ave., S.W., Washington D.C. 20201

Health Care Financing, Administration Director, Office of Management and Budget, Room 4406, HHS North Building, 300 Independence Ave., S.W., Washington D.C. 20201.

09-90-00225

System name: Central Registry of Individuals Doing Business With HHS, HHS OS ASMB 2.

Security classification:

None.

System location: Division of Financial Operations and Fiscal Procedures, Room 739D1, Humphrey Building, 200 Independence Avenue, S.W. Washington, DC 20201.

Categories of individuals covered by the system: Individuals who are the recipients of Federal Domestic Assistance Grants, or of contracts awarded by HHS.

Categories of records in the system: An index of names, addresses and identification number (SSN) of the individual doing business with HHS. No other personally identifiable data are maintained. The index is termed public information since data relative to Federal Domestic Assistance and Contracts are public information.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s):

This registry is maintained to provide a standard code to uniquely identify entities, including individuals, together with mailing address and other characteristic data to all principal operating components, agencies, regional offices and staff offices of the Department. The use of a single code per entity in all Departmental data systems enhances communication with an entity, as well diminishing the need to maintain duplicative data and files at various locations. Major categories of entities in the central file are those awarded contracts and awarded grants under Federal Domestic Assistance programs. Only those persons in the Department with a "need to know" have access to the published registry and to the automated records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

b. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

c. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

d. A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

e. Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

f. Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission records in this system of records may be disclosed to such organization.

g. Where the appropriate official of the department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy code booklets are manually field at agency and regional office sites; and on disc pack and magnetic tapes at central computer sites.

Retrievability: Record may be found in the Code Book by either name or social security number; record in the disc pack and on magnetic tape is indexed by social security number. The Code Book provides a listing of data processing numbers for grant, contract and financial transactions. These numbers are used to access the name and address of the individual in the Automated Library (Central Registry). The information is used for check preparation, reports, mailings, etc.

Safeguards: Minimum safeguards to insure integrity of records, and that required to provide protection against loss by accident or carelessness.

Retention and disposal: Records are purged from the automated file each two years; only persons actively dealing with HHS remain on file. Code Books are replaced each year. Inactive books are destroyed.

System manager(s) and address: Deputy Assistant Secretary, Finance, Department of HHS, Office of the Secretary, Room 705D1, Humphrey Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Inquiries are to be made, either in writing or in person, to the organization listed under "location". Give name and social security number.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under System Location, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Grant and Contract documents. Names, social security numbers and addresses are provided by the individual when applying for a grant or contract from the Department.

Systems exempted from certain provisions of the act: None.

Office of the Inspector General (OIG)

09-90-003

System name: Investigative Files of the Inspector General HHS/OS/OIG.

Security classification: None.

System location: Office of the Inspector General, DHHS Room 5246 North Bldg., 330 Independence Ave., SW., Washington, D.C. 20201.

Categories of individuals covered by the system: Employees, former employees, grantees, contractors, sub-contractors, carriers, State agencies, State employees providers and recipients under DHHS programs, providers and recipients under State programs funded by the Department and others doing business with the Department.

Categories of records in the system: Criminal Investigation Files Authority for maintenance of the system: 28 U.S.C. 535(b), 18 U.S.C.; P.L. 94-505, Oct. 15, 1976.

Purpose(s):

Pursuant to P.L. 94-505, this system is maintained for the purposes of conducting and documenting investigations conducted by OIG or other investigative agencies regarding DHHS programs and operations, documenting the outcome of OIG reviews of allegations and complaints received concerning DHHS programs operations, aiding in prosecutions brought against the subjects of OIG investigations, maintaining a record of the activities which were the subject of investigations, reporting the results of investigations to other Departmental components for their use in operating and evaluating their programs and in imposition of civil or administration sanctions, and acting as a repository and source for information necessary to fulfill the reporting requirements of 42 U.S.C. 3524.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. In the event that this system of records, maintained by this Agency to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto where such responsibility rests outside of OIG.

b. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

c. A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

d. A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

e. In the event that this system of records, maintained by this agency to carry out its function, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local, charged with the responsibility of investigating or prosecuting the statute, or rule regulation or order issued pursuant thereto where such responsibility rests outside OIG.

f. Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

g. Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

h. When the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

i. Disclosures may be made to organizations deemed qualified by the Secretary to carry out quality assessment.

j. There may also be disclosures in the course of employee discipline or competence determination proceedings.

k. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

l. In event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

m. A record from this system of records may be disclosed as a "routine use" to a Federal, State, or local agency maintaining pertinent records, if necessary to obtain a record relevant to a Department decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records, which take the form of index cards, investigative reports, computer disc files, and computer printed listings are maintained under secure conditions. Written documents are maintained in security type safes or lock bar file cabinets with manipulation proof combination locks. Computer disc files are on-line in guarded mantrapped dual door combination locked computer rooms.

Retrievability:

The records are retrieved by manual or computer search of alphabetical indices or cross-indices. Indices list names of individuals, companies and organizations.

Safeguards:

Direct access is restricted to authorized staff members of the Office of Inspector General. Access within DHHS is limited to the Secretary, Under-Secretary, Inspector General and other officials and employees on a need-to-know basis. Intra-agency transfers are made in accordance with the statement of Organization, Functions and Delegations of Authority as set out in a notice concerning the Office of Inspector General (42 FR 17531, April 1, 1977). All computer files and printed listings are safeguarded in accordance with the provisions of the National Bureau of Standards Federal Information Processing Standards 41 and 31, and the HHS, ADP Systems Manual, Part 6, "ADP Systems Security" All computer discs are password protected, prohibiting unauthorized access.

Retention and disposal:

Investigative files are retained for 5 years after completion of the investigation and/or actions based thereon. Index and cross-reference cards are retained permanently. In instances of computer matching of files, only those records which meet predetermined criteria for investigation are maintained. All records which do not meet these criteria are destroyed. All original source computer tapes are returned or destroyed once computer matching has been accomplished.

System manager(s) and address:

Inspector General/Deputy Inspector General, Room 5262, North Building, U.S. Department of Health And Human Services, 330 Independence Avenue, SW. Washington, D.C. 20201.

Notification procedure:

Exempt, however consideration will be given requests addressed to the system manager. For general inquiries include the name and date of birth of the individual.

Record access procedures:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register. October 8, 1975, page 47410.)

Contesting record procedures:

Contact the official at the address specified under system manager(s) and address above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Departmental and other federal, state, and local government records; interviewers of witnesses; documents and other material furnished by nongovernment sources. Sources may include confidential sources.

Systems exempted from certain provisions of the act:

General exemption (j)(2), this system was formerly know as the Investigatory Materials compiled for Law Enforcement Purposes system. Pursuant to 45 CFR 5b.11, (b)(2)(i)(b), 40 FR 47413 (Oct 8, 1975) this system is exempt from the following subsections of the Act (c)(3), (d)(1)–(4), (e)(3), and (e)(4)(G)(h).

09–90–0078

System name:

SSI/OPM Temporary Matching File, HHS/OS/OIG

Security classification:

None

System location:

Office of the Inspector General DHHS, Room 2111, SSA Annex, Baltimore, Md. 21235.

Categories of individuals covered by the system:

All Federal employees covered under Office of Personnel Management Central Personnel Data File (CPDR) who are also included in the Supplementary Security Income (SSI) file of the Social Security Administration.

Categories of records in the system:

Office of Personnel Management Central Personnel Data File extract including name of employee, date of birth, Social Security Number, work status, pay grade and duty station, and Supplementary Security Income Record File data including names, Social Security Number, address, SSI application data, disability data, income and resource data and payment data used in the administration of the SSI program.

Authority for maintenance of the system:

Pub. L. 94–505

Purpose(s):

This system of records is maintained to facilitate the comparison of records to identify those Federal employees who may also be receiving SSI benefits concurrently. This is in accordance with the statutory requirement in Pub. L. 94–505 that the Inspector General prevent and detect fraud and abuse in the Department's programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant, records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

A record from this system of records may be disclosed as a "routine use" to a Federal, State or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may

disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

A record from this system may be disclosed as a "routine use" to a Federal, State or local agency maintaining pertinent records if necessary to obtain a record relevant to a Department decision concering the determination of initial or continuing eligibility for program benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are stored on computer tape files and computer printed listings.

Retrievability: The records are retrieved by computer using Social Security Number as the principal matching criterion. We disclose the records within the Department to the Social Security Administation for investigation and redetermination of SSI benefits.

Safeguards: Direct access is restricted to authorized staff members of the Office of the Inspector General. Access within HHS is limited to those employees who are directly involved in the matching program on a need-to-know basis. Computer files and printed listing are maintained in security type safes or lock bar file cabinets. They are safeguarded in accordance with the provisions of the National Bureau of Standards Federal Information Processing Standards 41 and 31, and the HHS Information Processing Standards, HHS ADP System Manual Part 6, "ADP Systems Security." All computer tapes are password protected prohibiting unauthorized access.

Retention and disposal: In instances of computer matching of files, only those records which meet predetermined criteria are maintained. All records which do not meet these criteria are destroyed. All original source computer tapes will be returned within 60 days. All records obtained as a result of the matching program will be degaussed as soon as possible within 6 months except for those records which are necessary to the completion of pending law enforcement activities or administrative activities of the matching program. Paper listings will be either shredded or burned.

System manager(s) and address: Inspector General/Deputy Inspector General, Room 5262, North Building, U.S. Department of Health and Human Services, 330 Independence Avenue SW., Washington, D.C. 20201.

Notification procedure: Contact: Privacy Act Coordinator, Department of Health and Human Services, Office of the Inspector General, Room 5267, North Building, 330 Independence Avenue SW., Washington, D.C. 20201.

Record access procedures: Same as notification procedure. Requestors should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulation (45 CFR, Section 5b.5(a)(2)).

Contesting record procedures: Contact the official at the address specified under notification procedure above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7)).

Record source categories:

Records are furnished from the Central Personnel Data File (CPDF) maintained by the U.S. Office of Personnel Management and from the Supplemental Security Income Record (SSR) maintained by the Social Security Administration, Department of Health and Human Services.

Systems exempted from certain provisions of the act:

09-90-0079

System name: Welfare Fraud Detection File, HHS/OS/OIG.

Security classification:

None.

System location: At headquarters and regional offices of the OIG Audit Agency, Department of Health and Human Services. See Appendix.

Categories of individuals covered by the system:

Recipients of the Aid to Families with Department Children (AFDC) program.

Categories of records in the system:

The system consists of the AFDC recipient records maintained by the State Welfare Agencies. Records contain information on those individuals receiving AFDC payments for themselves or as a payee for dependent children under their guardianship. Records contain information on name, address, date of birth, social security number, sex, names of dependent children, their dates of birth and sex, and monthly grant amount.

Authority for maintenance of the system: P.L. 94-505, October 15, 1976.

Purpose(s):

This system of records is maintained to facilitate the development of a multiple fraud detection program for the Aid to Families with Dependent Children (AFDC) Program. The program has as its major function the identification of cases which through misrepresentation are on the welfare rolls illegally.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

The record from this system may be disclosed as a "routine use" to a Federal, State, or local agency maintaining pertinent records if necessary to obtain a record relevant to a Department decision concerning the determination of initial or continuing eligibility for program benefits.

In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

Where the appropriate offical of the Department, pursuant to the Department's Freedom of Information Regulation determines that is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

When the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system, relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are stored on computer tape files and computer printed listings.

Retrievability:

The records in this system are retrieved by computer and manually using name or social security number.

Safeguards: Access to and use of these records is restricted to those personnel having a legitimate need for the information including HHS Office of the Inspector General personnel and other relevant Departmental and State personnel. Access will be provided outside of the Office of the Inspector General only in those instances where additional information is needed from another agency (e.g., the Social Security Administration or the State Welfare Agency) or where referrals for investigation are warranted. All computer files and printed listings are safeguarded in accordance with the provisions of the National Bureau of Standards Federal Information Processing Standards 41 and 31, and the HHS Information Processing Standards, HHS ADP Systems Manual, Part 6, "ADP Systems Security." All computer tapes are password protected prohibiting unauthorized access. Once the program is completed, all computer tapes will be returned to their source, erased or degaussed, and printed listings destroyed.

Retention and disposal:

Records will be updated periodically and source computer tapes will be either returned to the States or destroyed. All computer work tapes will be erased or degaussed, and printed listings destroyed.

System manager(s) and address: Inspector General/Deputy Inspector General, Room 5262, North Building, U.S. Department of Health, and Human Services, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Individuals wishing to inquire whether this system of records contains information about them should address their inquiries providing their name and social security number to: Privacy Act Coordinator, Office of Inspector General, Department of Health, and Human Services, Room 5267, North Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Record access procedures: Same as notification procedure. Requestors should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulation (45 CFR Section 5b.5(a)(2)).)

Contesting record procedures: Contact the official at the address specified under notification procedure above, and reasonably indentify the record and specify the information to be contested. These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).

Record source categories: State Welfare Agencies which maintain files of AFDC program recipients.

Systems exempted from certain provisions of the act: None.

Appendix

OIG Audit Agency, Room 5739, North Building, U.S. Department of Health, Education, and Welfare, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Region I: OIG Audit Agency, Bulfinch Building, 15 New Chardon Street, Boston, Massachusetts 02114.

Region II: OIG Audit Agency, Federal Building, 26 Federal Plaza, New York, New York 10007.

Region III: OIG Audit Agency, 3535 Market Street, Gateway Building, Room 6100, Philadelphia, Pennsylvania 19101.

Region IV: OIG Audit Agency, 101 Marietta Tower, Suite 1402, Atlanta, Georgia 30323.

Region V: OIG Audit Agency, 300 South Wacker Drive, Chicago, Illinois 60606.

Region VI: OIG Audit Agency, 1100 Commerce Street, Room 4-E10, Dallas, Texas 75242.

Region VII: OIG Audit Agency, 601 East 12th Street, Kansas City, Missouri 64106.

Region VIII: OIG Audit Agency, 1185 Federal Building, 1961 Stout Street, Denver, Colorado 80294.

Region IX: OIG Audit Agency, Federal Office Building, Room 171, 50 United Nations Plaza, San Francisco, California 94102.

Region X: OIG Audit Agency, Arcade Plaza Building, Room 6087, 1321 Second Avenue, Seattle, Washington 98101.

Office of the Assistant Secretary for Legislation (OASL)

09-90-0027

System name: Congressional Correspondence Unit. HHS/OS/ASL

Security classification:

None.

System location: Room 435G Humphrey Building, 200 Independence Avenue, SW., Washington, D.C. 20201

Categories of individuals covered by the system: Members of Congress indexed by name

Categories of records in the system: Control information recording, direct inquiries and referrals of constituents' inquiries from Members of Congress, and responses to those inquiries, regarding the Department's activities, including, but not necessarily limited to: a. general program activities of the Department; b. individual case problems of named persons, families or institutions; c. employment or appointment interests. Control slips identifying the correspondent, the constituent on whose behalf the inquiry is made, the constituent's social security number if inquiry relates to a social security case, and a summary of the subject matter of the inquiry.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s):

To provide response to inquiries from a member of Congress made on behalf of a constituent regarding the Department's activities, including, but not limited to general program activities of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Inquiries which do not pertain to HHS, but fall under the jurisdiction of another Federal Agency, are transferred to that Agency with a request that a direct response be provided to the correspondent. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on magnetic (floppy) disks.

Retrievability: Records are indexed alphabetically by name of the Members of Congress. Inquiries are forwarded to the HHS Agency which has jurisdiction over the subject matter for preparation of a response.

Safeguards: Records are kept in office with access limited to those whose official duties require access.

Retention and disposal: Records are reviewed biannually, and maintained for two years.

System manager(s) and address: Director, Congressional Liaison Office, Office of the Assistant Secretary for Legislation, Room 417 H Humphrey Bldg, 200 Independence Avenue, SW. Washington, D.C. 20201.

Notification procedure: System Manager; address same as above. The name of the person who corresponded with the Department with reference to the constituent and the approximate date of that correspondence must be provided.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being

sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: The information in CCU files is provided by the correspondent and by the agency which prepares the final response.

Systems exempted from certain provisions of the act: None.

09-90-0072

System name: Congressional Grants Notification Unit. HHS/OS/ASL

Security classification:

None.

System location: Room 417 H Humphrey Building, 200 Independence Avenue, S.W., Washington, D.C. 20201

Categories of individuals covered by the system: Members of Congress.

Categories of records in the system: Notification form of grants or contract awards made by HHS. The form contains the name and address of the project director, the purpose of the grant or contract, and the HHS program involved.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s):

To provide timely notification to members of Congress of HHS grants and contract awards being made in their Districts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files are maintained in standard file cabinets.

Retrievability: Files are indexed by States Congressional Districts with the name of the Congressional Representative of that District on the file. Records are retrieved by name. The staff uses this system for the following purposes: 1) To answer questions in the short term about amounts of HHS grant funds going into areas of the country according to congressional districts. 2) To verify that actual notification to members offices of awards has been made.

Safeguards: These records are public information and available on request.

Retention and disposal: Grant notification files are discarded after two calendar years.

System manager(s) and address: Director, Congressional Liaison, Office of the Assistant Secretary for Legislation, Room 417 H HHH Bldg., 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Same as above. The Congressional District or name of the Congressional Representative of that district and the approximate date of the award must be provided.

Record access procedures: Address same as above.

Contesting record procedures: Address same as above.

Record source categories:

Agencies within the Department making the grant/contract awards.

Systems exempted from certain provisions of the act: None.

Office of the Assistant Secretary for Public Affairs (OASPA)

09-90-0028

System name: Biographies and Photographs of HHS Officials HHS OS/ASPA.

Security classification:

None.

System location: Office of the Assistant Secretary for Public Affairs, News Division, Room 638E, Humphrey Building, 200 Independence Avenue, S.W., Washington, D.C. 20201 (see Appendix 1 following)

Categories of individuals covered by the system: HHS employees in key management and technical positions, such as the Secretary, Under Secretary, Assistant Secretaries, Deputy Assistant Secretaries, Commissioners, Regional Directors, Deputy Regional Directors, Agency Heads, Unit Managers.

Categories of records in the system: Biographical files consist of approved, printed personal and professional resumes and standard portrait pictures and biographical and professional questionnaires providing name, title, office location, telephone number, date of appointment to HHS, home address, home telephone, date of birth, place of birth, marital status, spouse's name, children's names, children's date of birth, education, military service, professional career data, professional affiliations, publications and articles authored, awards, citations, prizes and honors received, civic, social and fraternal associations, outside interests, such as hobbies, sports, recreation.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s):

These records are maintained and made available to staff of the Department who have a need for Photographs or background information on top officials of HHS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request to that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in individual and combined files and stored in standard five-drawer file cabinets in offices listed under System Location.

Retrievability: Records are indexed by the name in alphabetical order, of those in higher management and technical positions with the remainder combined in a 'miscellaneous' folder or folders. These records are made available to staff of the Department who have a need for photos of background information on these officials.

Safeguards: Files are maintained in the offices of Public Affairs and requests are honored 'on a need to know' basis only.

Retention and disposal: Records are periodically updated as circumstances warrant relative to promotions, reassignment, resignations, death.

Same as in Location above and Appendix 1.

Contact System Managers in areas where individual is employed. Addresses same as above with the exception of Food and Drug Administration, contact: FDA Privacy Coordinator (HF-50), Food and Drug Administration, 5600 Fishers Lane, Rockville, Md. 20857.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These

procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Information contained in the biographies comes from the individuals whose biographies they form and from other material furnished by agency public information offices. The biographies are cleared with the individuals whose biography they represent prior to release to the public and the news media.

Systems exempted from certain provisions of the act: None.

Appendix 1

Public Affairs Officer, Alcohol, Drug Abuse, and Mental Health Administration, Room 60-15, 5600 Fishers Lane, Rockville, Maryland 20857.

Public Affairs Officer, Center for Disease Control, Room 2067, Building 1, 1600 Clifton Road, Atlanta, Georgia 30333.

Public Affairs Officer, Food and Drug Administration, Room 15B42, 5600 Fishers Lane, Rockville, Maryland 20857.

Public Affairs Officer, Health Resources Administration, Room 1030, Center Building, 3700 East-West Highway, Rockville, Maryland 20782.

Public Affairs Officer, Health Services Administration, Room 14A55, 5600 Fishers Lane, Rockville, Maryland 20857.

Public Affairs Officer, National Institutes of Health, Room 309, Building 01, 9000 Rockville Pike, Bethesda, Maryland.

Public Affairs Officer, Health Care Financing Administration, Room 313-H, Humphrey Building, 200 Independence Ave. S.W., Washington, D.C. 20201.

Director, Public Health Services, Office of Public Affairs, Room 740G, HHH Bldg., 200 Independence Ave., S.W., Washington, D.C. 20201.

Public Affairs Officer, Social Security Administration, Rm 4200 West High Rise, 6401 Security Boulevard, Baltimore, Maryland 21235.

Public Affairs Officer, Department of Health and Human Services, John F. Kennedy Federal Building, Government Center, Boston, Massachusetts 02203.

Public Affairs Officer, Department of Health and Human Services, Federal Building, 26 Federal Plaza, New York, New York 10007.

Public Affairs Officer, Department of Health and Human Services, 3535 Market Street, Philadelphia, Pennsylvania 19101.

Public Affairs Officer, Department of Health and Human Services, 101 Marietta Towers, Suite 1403, Atlanta, Georgia 30323.

Public Affairs Officer, Department of Health and Human Services, 300 South Wacker Drive, 35th Floor, Chicago, Illinois 60606.

Public Affairs Officer, Department of Health and Human Services, 1200 Main Tower Building, 11th Floor, Dallas, Texas 75202.

Public Affairs Officer, Department of Health and Human Services, 601 East 12th Street, Kansas City, Missouri 64106.

Public Affairs Officer, Department of Health and Human Services, 19th and Stout Sts., RM10006, Fed Ofc. Bldg., Denver, Colorado 80294.

Public Affairs Officer, Department of Health and Human Services, Federal Office Building, 50 United Nations Plaza, San Francisco, California 94102.

Public Affairs Officer, Department of Health and Human Services, Arcade Plaza, 1321 Second Avenue, Seattle, Washington 98101.

09-90-0058

System name: Freedom of Information Case file and Coorespondence Control Index, HHS OS-ASPA-FOIA.

Security classification:

None.

System location: Room 118F Humphrey Building, 200 Independence Avenue SW., Washington, D.C. 20201 (See Appendix 1 following).

Categories of individuals covered by the system: Individuals or organizations requesting access to inspect and/or copy records of the department under provisions of the Freedom of Information Act.

Categories of records in the system: Name, address, and other individually identifying information about the requestor and the records sought.

Authority for maintenance of the system: Freedom of Information Act. P.L. 93-402 (5 U.S.C. 552) HHS Public Information Regulation (45 CFR, 5).

Purpose(s):

Records are used by Freedom of Information staff involved in correspondence and investigative processes, including appeals officials and members of the Office of General Counsel.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to dislose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Original or copy of incoming request and written response maintained in case file jackets and corresponding control log.

Retrievability: For the most part records are indexed by name of individual requestor. Records are available to FOI staff involved in correspondence and investigative processes, including appeals officials and members of the Office of General Counsel.

Safeguards: Records are maintained in Conserva-File cabinets in the offices of the Freedom of Information Officers and public affairs officers throughout the Department with limited access.

Retention and disposal: Individual case files are maintained for two years and the disposed of.

System manager(s) and address: Freedom of Information Officer, PA Room 118F, Humphrey Building, 200 Independence Avenue SW., Washington, D.C. 20201 (See Appendix I following).

Notification procedure: System Managers. Addresses same as above with the exception of Food and Drug Administration, contact: FDA Privacy Coordinator (HF-50), Food and Drug Administration, 5600 Fishers Lane, Rockville, Md. 20857.

Record access procedures: Access to these records may be obtained by request in writing or in person to FOI Officer and public affairs officers throughout the Department, addresses same as above.

Contesting record procedures: Same as above.

Record source categories:

Individuals and organizations making requests under the Freedom of Information Act or from components of the Department reporting on the handling of such requests for inclusion in the annual report to Congress.

Systems exempted from certain provisions of the act: None.

Appendix I

Public Affairs Officer, Alcohol, Drug Abuse, and Mental Health Administration, Room 6C-15, 5600 Fishers Lane, Rockville, Maryland 20857.

Public Affairs Officer, Center for Disease Control Room 2067, Building B 1600 Clifton Road, Atlanta, Georgia 30333.

Public Affairs Officer, Food and Drug Administration, Rm 15B42, 5600 Fishers Lane, Rockville, Maryland 20857.

Public Affairs Officer, Health Resources Administration, Room 1030, Center Building 3700 East-West Highway, Rockville, Maryland 20782.

Public Affairs Officer, Health Services Administration, Room 14A55, 5600 Fishers Lane, Rockville, Maryland 20857.

Public Affairs Officer, National Institutes of Health, Room 309, Building 01, 9000 Rockville Pike, Bethesda, Maryland 20014.

Public Affairs Officer, Health Care Financing Administration, Room 5221, Mary E. Switzer Building, 330 C Street, S.W., Washington, D.C. 20201.

Director, Public Health Services, Office of Public Affairs, 740G HHH Bldg., 200 Independence Ave, Washington, D.C. 20201.

Public Affairs Officer, Social Security Administration, Rm 4200, West High Rise, 6401 Security Boulevard, Baltimore, Maryland 21235.

Public Affairs Officer, Department of Health and Human Services, John F. Kennedy Federal Building, Government Center, Boston, Massachusetts 02203.

Public Affairs Officer, Department of Health and Human Services, Federal Building, 26 Federal Plaza, New York, New York 10007.

Public Affairs Officer, Department of Health and Human Services, 3535 Market Street, Philadelphia, Pennsylvania 19101.

Public Affairs Officer, Department of Health and Human Services, 101 Marietta Tower, Suite 1403, Atlanta, Georgia 30323.

Public Affairs Officer, Department of Health and Human Services, 300 South Wacker Drive, 35th Floor, Chicago, Illinois 60606.

Public Affairs Officer, Department of Health and Human Services, 1200 Main Tower Building, 11th Floor, Dallas, Texas 75202.

Public Affairs Officer, Department of Health and Human Services, 601 East 12th Street, Kansas City, Missouri 64106.

Public Affairs Officer, Department of Health and Human Services, 19th and Stout Sts, Rm. 10006 Fed. Ofc. Bldg., Denver, Colorado 80202.

Public Affairs Officer, Department of Health and Human Services, Federal Office Building, 50 United Nations Plaza, San Francisco, California 94102.

Public Affairs Officer, Department of Health and Human Services, Arcade Plaza, 1321 Second Avenue, Seattle, Washington 98101.

09-90-0085

System name: Demonstration Project: Applications for Assistance in Order to Comment on Proposed Regulations (HHS/OS/OASPA).

Security classification: None.

System location: Office of the Assistant Secretary for Public Affairs, Room 635D, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Categories of individuals covered by the system: The system includes records of individuals who have applied for assistance to comment on proposed regulations.

Categories of records in the system: The records include information needed by the Department to evaluate and act on applications for assistance to comment on proposed regulations. The information includes name, address, telephone number, organization (if applicant represents a group), issues important to the applicant, information to be supplied in applicant's comment, income of individual, number of individual's dependents, additional financial information supplied by individual, information concerning cost of providing comments on regulation.

Authority for maintenance of the system: The system of records is authorized by Executive Order 12044 on Improving Government Regulations and Executive Order 12160 on Providing for Enhancement and Coordination of Federal Consumer Programs.

Purpose(s):

The records in the system must be maintained to evaluate applications for assistance, to notify applicants of the Department's decision, to provide assistance to successful applicants, and to conduct evaluations of the demonstration project. System records are disclosed to members of the Evaluation Board and other Department employees as necessary to perform these and other functions in the demonstration project.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the Treasury Department in order to reimburse costs of successful applicants.

To the Special Assistant to the President for Consumer Affairs for coordination of Executive Branch consumer affairs activities.

To a congressional office from the record of an individual in response to an inquiry made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Applications and related records are maintained in file folders.

Retrievability:

Records are indexed and retrieved by the name of the applicant.

Safeguards:

Records are maintained in locked filing cabinets. Only individuals who perform functions necessary to conduct the demonstration project have access to system records.

Retention and disposal:

Records are maintained for one year following the end of the demonstration project and then are destroyed.

System manager(s) and address:

Special Assistant to the Secretary for Consumer Affairs, Room 635D, Department of Health and Human Services, 200 Independence Avenue, SW., Washington, D.C. 20201.

Notification procedure:

An individual should contact the System Manager at the address above and provide his or her name and address to find out whether the system contains his or her record. If access to the record is desired, the individual is encouraged to request access at the same time he or she requests notification of whether the system contains his or her record. The individual should also include his or her name and address for purposes of obtaining access.

Record access procedures:

See NOTIFICATION PROCEDURE above; the request for access should reasonably identify the records the individual wants to see.

Contesting record procedures:

An individual should contact the System Manager at the address above if he or she wants to amend a system record because the record is not accurate, relevant, timely, or complete. The request for amendment should reasonably identify the records, specify the information to be amended, and describe the correction or amendment to be made.

Record source categories:

Information in system records is obtained primarily from the individual applying for assistance. Additional information may be obtained from Department employees familiar with the applicant.

Systems exempted from certain provisions of the act: None.

Executive Secretariat (ES)

09-90-0037

System name: Secretariat Correspondence Control System. HHS/OS/ES

Security classification: None.

System location: Room 602C, Humphrey Bldg., 200 Independence Avenue SW., Washington, D.C. 20201.

Categories of individuals covered by the system: Individuals who have contacted the Secretary, the Under Secretary, or other HHS officials, or who have been contacted in writing to them.

Categories of records in the system: Control informatin from the Secretary's, Under Secretary's, or other HHS officials' correspondence to include a subject narrative, organization drafting the response, and type of action required from the Department. This information is contained on hardcopy printouts, computer magnetic tape, and computer disk units.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s):

To provide for the Secretary, the Assistant Secretaries, and the Operating Divisions the capability to control, track and update document records as the documents are processed within the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her offical capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained as follows: hardcopy printouts are stored in standard file cabinets in a locked area; computer records are stored on either magnetic tape resident in a computer tape library, or, an on-line computer disk unit at the operational computer site."

Retrievability: Records are indexed chronologically by date of correspondence and also by name, subject and numerical control number. Records are available to staff responsible for preparation of responses to inquiries and to the staff of the Executive Secretariat(s). Records are used for control and reference purposes in staffing out issues and correspondence of concern to the Secretary, the Under Secretary, or principal operating component/staff office heads.

Safeguards: Direct access is limited to the staff of the Executive Secretariat and OP DIV. staff control personnel to both hardcopy and computer resident records. Access is limited during non-working hours to the hardcopy records to these individuals with keys to both the file cabinets and rooms where the records are stored. Remote computer terminal locations are protected with individual user identification numbers and passwords to the computer system. Where possible, computer terminal locations are locked during non-working hours.

Retention and disposal: Hard Copy records are retired to the National Archives after three years. Control records are maintained indefinitely. Computer records are purged after correspondence is finalized to a history file.

System manager(s) and address: Executive Secretary to the Department, Room 636G, Humphrey Bldg. 200 Independence Avenue, S.W. Washington, D.C. 20201

Notification procedure: Inquiries should be addressed to the System Manager. The inquirer should indicate the individual with whom the Secretary, Under Secretary, or OP DIV. staff office head corresponded, the date of the incoming correspondence and the date of the outgoing correspondence from the Secretary, the Under Secretary, of OP DIV. staff office head. Address is same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

Computer records are derived from the incoming correpondence for the Secretary and the Under Secretary.

Systems exempted from certain provisions of the act: None.

09–90–0038

System name: Secretary's Official Files. HHS/OS/ES

Security classification:

None.

System location: Room 636G, Humphrey Building, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Categories of individuals covered by the system: Individuals who have contacted the Secretary or the Under Secretary or who have been contacted in writing by them.

Categories of records in the system: Hard copies of documents signed or initialed by the Secretary or the Under Secretary.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s):

The Secetary's Official Files are maintained to preserve the historical record of actions taken by the decisions made by the Secretary and the Under Secretary of the Department Health and Human Services.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, and component of the Department, or any employee of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records ae maintained in hard copy filed in standard file cabinets.

Retrievability: Records are indexed by subject, name, organization, and key words. Records are available to the staff of the Executive Secretariat and The Immediate Office of the Secretary for reference purposes in staffing out issues of concern to the Secretary of the Under Secretary.

Safeguards: Direct access is limited to the staff of the Executive Secretariat. Access is limited during non-working hours to individuals with keys to the file room.

Retention and disposal: Records are maintained for three years and are then sent to the National Archives.

System manager(s) and address: Executive Secretary to the Department, Room 636G, Humphrey Building, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Inquiries should be addressed to the system manager at the above address. The inquirer should indicate the subject matter of the issue involved, the date of the subject documents, and the author and/or addresses.

Record access procedures: Same as above.

Contesting record procedures: Same as above.

Record source categories: Records are derived from documents signed or initialed by the Secretary of the Under Secretary.

Systems exempted from certain provisions of the act: None.

09–90–0080

System name: The Secretary's Advisory Committee Candidate Files HHS–IOS

Security classification: None.

System location: Department of Health and Human Services, Immediate Office of the Secretary, Special Assistant to the Secretary for Advisory Committees, Room 602E, Humphrey Building, 200 Independence Avenue SW, Washington, D.C. 20201.

Computer site and location: ADP Network Services, Inc., 40 2nd Avenue, Waltham, Mass. 02154.

Categories of individuals covered by the system: Individuals who are being considered for membership on advisory committees within the jurisdiction of the Department of Health and Human Services.

Categories of records in the system: Information maintained on individuals recommended as members of Advisory Committees sub-

ject to this notice consists of one or more of the following: name, title, sex, physically disabled indicator, place and date of birth, home address, business address, organizational affiliation, ethnic background, resume, curriculum vitae, dates of term(s) on advisory committee, current status on advisory committee, reason for leaving advisory committee, previous or current membership on other advisory committees, special qualifications of the individual for the advisory committee membership, source who recommended the individual for membership on advisory committee and miscellaneous correspondence. Additionally, letters of recommendation are included in the file.

Authority for maintenance of the system: 5 U.S.C. 3301.

Purpose(s):

To provide the Secretary with the capability to search a file of candidate resumes for positions on HHS advisory committees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law. Whether civil, criminal or regulatory in nature, and whether arising by general statute of particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

b. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

c. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

d. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in hard-copy stored in file cabinets, on index cards, on magnetic tape, or in computer storage.

Retrievability:

For the most part records are maintained in an alphabetical index by name of the individual. Certain files are based on other factors, e.g., Advisory Committee name, with a cross index based on an alphabetical listing of individuals. Certain other records are retrievable by individually identifiable computer identification codes, last name, first name, sex, handicapped indicator, professional expertise and ethnic background. All fields within the individual computer record can be accessed by the computer system language, and are available for administrative purposes via on-line, interactive terminals either in hard-copy or electronic visual dispay devices for reports. Records of candidates for Advisory Committees will be created and maintained on the data base which is accessible by on-line, interactive computer technology. Uses include special administrative reports, quarterly alphabetical listings of past, present, and recommended members of Advisory Committees, computer lists of vacancies, acceptances, separations, active members, statistical reports by sex, youth, geographical location, etc.; documentation of nominations; and other administrative needs.

Safeguards:

Direct access to records is restricted to authorized personnel through locked files, rooms, and buildings as well as building pass and security guard-sign-in systems.Certain facilities are also protected by closed circuit television systems. Computer systems are secured through locked magnetic tape libraries as well as lockword-passwork computer access systems.

Retention and disposal:

Retention is variable from one year to permanent retention depending upon the type of record, e.g., names of former members of advisory committees are retained permanently. Records are disposed of as trash by the system manager or Office of Security depending on the confidentiality of the information contained on the record.

System manager(s) and address: Special Assistant to the Secretary for Advisory Committee, Room 602E, Humphrey Building, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure:

Write to the Systems Manager at the above address.

Verification of identification of individuals inquiring as to information contained in this system of records will be required by the submission of full last name, first name, and address of residence.

Record access procedures:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with the Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

The vast majority of information contained in records on individuals is obtained directly from the individual. Other information in the form of references and recommendations is obtained from other private individuals, program personnel, biographical reference books, private organizations, former employers, regional offices of HHS, Members of Congress, and other government sources.

Systems exempted from certain provisions of the act: None.

Office of Consumer Affairs (OCA)

09-90-0041

System name: Consumer Mailing Lists. HHS/OS/ U.S.OCA

Security classification:

None.

System location: 624 Reporters Bldg., 7th and D Sts., SW., Washington, D.C. 20201.

Categories of individuals covered by the system: Individual consumers media representative business and government officials

Categories of records in the system: Names and address of individuals requesting consumer information

Authority for maintenance of the system: Executive Order 011583 of February 24, 1971 and Reorganization Plan 01 of 1953.

Purpose(s):

Used by the United States Office of Consumer Affairs Consumer Information staff to distribute information on current consumer topics to consumers, business, government and the media.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the U.S. OCA Consumer Information staff to distribute information on current consumer topics to consumers, business, government and the media. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation the defendant, is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Conventional file cabinets and computers.

Retrievability: By name.

Safeguards: Personnel screening during working hours and secured building after working hours.

Retention and disposal:

Files are updated quarterly and disposed of through normal trash and erasure of computer tapes.

System manager(s) and address: Director, Consumer Information, 624 Reporters Bldg., 7th and D Sts., SW., Washington, D.C. 20201.

Notification procedure: Director, Office of Management and Consumer Complaints, 626 Reporters Bldg., 7th and D Sts., SW., Washington D.C. 20201.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Correspondence and telephone calls from individual consumers, business and government officials.

Systems exempted from certain provisions of the act: None.

09-90-0046

System name: Consumer Complaint Correspondence System HHS/U.S./OCA.

Security classification:

None.

System location: Room 628 Reporters Bldg., 7th and D Sts., SW., Washington, D.C. 20201.

Categories of individuals covered by the system: Individual Consumers.

Categories of records in the system: Correspondence concerning consumer complaints referred to USOCA by Congressional offices or White House and other consumer complaint correspondence.

Authority for maintenance of the system: Executive Order 011583, February 24, 1981; Reorganization Plan 01 of 1953.

Purpose(s):

Resolution of individual citizen complaints through referral to other Federal agencies, non-Federal governments, voluntary groups and private business firms.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Resolution of individual citizen complaints through referral to other Federal agencies, non-Federal governments, voluntary groups and private business firms. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation the defendant is (a) the Department, any Component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Individual files in cabinets.

Retrievability: Correspondence referred to other Federal offices is not maintained. Correspondence referred to non-Federal parties is stored only by sequential file number. Correspondence referred from Congressional offices is retrievable by name of member of Congress and reference to a sequential file number.

Correspondence referred from White House is retrievable by control card which indicates name of staff person preparing response. Copy of response is in staff member's chronological file. Copy of incoming correspondence is returned, with response to the White House.

Safeguards: Personnel screening during working hours and secured building after working hours.

Retention and disposal: Records are retained for not less than one or more than two years.

System manager(s) and address: Director, Office of Management and Consumer Complaints, 626 Reporters Bldg., 7th and D Sts., SW., Washington, D.C. 20201.

Notification procedure: System manager. Address is same as above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Correspondence and telephone calls from individual consumers.

Systems exempted from certain provisions of the act: None.

Office for Civil Rights (OCR)

09-90-0050

System name: Case Information Management System HHS OS/OCR

Security classification: None.

System location: See System Manager and Appendix 1.

Categories of individuals covered by the system: Persons filing complaints with the Office for Civil Rights.

Categories of records in the system: Name, characteristics of the complaint and critical events in OCR's processing of the complaints.

Authority for maintenance of the system: Title VI of the 1964 Civil Rights Act; Sections 799A and 855 of the Public Health Service Act; Section 504 of the 1973 Rehabilitation Act; the Age Discrimination Act; The Equal Employment Opportunity Provisions of the Public Telecommunications Financing Act of 1978; Title VI and Title XVI of the Public Health Service Act (the "community services obligation" of facilities funded under the Act); Title IX of the 1972 Education Amendments; Section 407 of the Drug Abuse Office and Treatment Act; and Section 321 of the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970.

Purpose(s): The system is designed to report the status of all complaints currently being investigated by OCR.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic disc and tape.

Retrievability: Records are indexed by case or complaint number, but may be recalled by name, address, or any other recipient characteristic by OCR staff engaged in compliance activities.

Safeguards: The physical data processing storage is controlled by DHHS which enforces appropriate security measures. This agency references data through communication terminals with access controlled by passwords. The Department's ADP Systems Manual, Part 6, ADP Systems Security, govern the control.

Retention and disposal: Indefinite retention. Disposal by electronic erasure.

System manager(s) and address: Deputy Director, Office of Compliance and Enforcement, Office for Civil Rights, 330 Independence Avenue SW., Washington, D.C. 20201.

And, Regional Directors, see Appendix 1.

Notification procedure: Contact System Manager (above), or Regional Director (see Appendix 1). Include name and address of com-

plainant, and name of the recipient against which the allegation was filed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. Request should be made to the system manager in the regional office where the record is most likely to be kept (determined by location of the institution or facility against which the allegation was originally filed). When this location is in doubt request should be made to the Deputy Director, Office of Compliance and Enforcement, (see above, System Manager).

Contesting record procedures: Contact the official(s) at the address specified under system manager or Appendix 1, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Information in complaint investigation files.

Systems exempted from certain provisions of the act: None.

Appendix Number 1 System Locations

This system is located at HHS offices in the following cities.

Region I, Regional Director, OCR/DHHS, 140 Federal Street—14th Floor, Boston, MA 02110.

Region II, Regional Director, OCR/DHHS, 26 Federal Plaza—Room 3900, New York, NY 10278.

Region III, Regional Director, OCR/DHHS, 3535 Market Street—Post Office Box 13716, Philadelphia, PA 19101.

Region IV, Regional Director, OCR/DHHS, 101 Marietta Street—Suite 2806, Atlanta, GA 30323.

Region V, Regional Director, OCR/DHHS, 300 South Wacker Drive—32nd Floor, Chicago, IL 60606.

Region VI, Regional Director, OCR/DHHS, 1200 Main Tower Bldg.—Room 1900, Dallas, TX 765202.

Region VII, Regional Director, OCR/DHHS, 601 E. 12th Street—Room 248, Kansas City, MO 64106.

Region VIII, Regional Director, OCR/DHHS, Federal Office Building, 1961 Stout Street—Room 1326, Denver, CO 80294.

Region IX, Regional Director, OCR/DHHS, 1275 Market Street—14th Floor, San Francisco, CA 94103.

Region X, Regional Director, OCR/DHHS, 1321 Second Avenue—MS/723, Seattle, WA 98101.

09–90–0051

System name: Complaint Files and Log. HHS–OS–OCR.

Security classification: None.

System location: See Appendix 1, System 09–90–0050.

Categories of individuals covered by the system: Individuals who file complaints alleging discrimination under the statutes identified below (Authority for Maintenance).

Categories of records in the system: Complaint allegations, information gathered during the complaint investigation, findings, and results of the investigation, and correspondence relating to the investigation.

Authority for maintenance of the system: Title VI of the 1964 Civil Rights Act; Sections 799 A and 855 of the Public Health Service Act; Section 504 of the 1973 Rehabilitation Act; the Age Discrimination Act; The Equal Employment Opportunity Provisions of the Public Telecommunications Financing Act of 1978; Title VI and Title XVI of the Public Health Service Act Title IX of the 1972 Education Amendments; Section 407 of the Drug Abuse Office and Treatment Act; and Section 321 of the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970.

Purpose(s): This file system is designed to store the results of all OCR regional investigations, for retrieval of information on the resolutions of complaints. Files are maintained to record the results of the complaint investigations so that OCR can determine if there was discrimination as charged in the original complaint.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files may be reviewed by the Department of Justice, the Equal Employment Opportuntiy Commission, or other Federal and State agencies when necessary to complete an investigation, enforce the statutes, or assure proper coordination.

OCR may contract with a private firm for the purpose of collating, analyzing, aggregating, or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department or any employee of the Department in his or her official capacity (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any its components: or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and file cards.

Retrievability: By name for use by OCR staff in complaint investigations.

Safeguards: Printed materials are filed in lockable cabinets. The Department's ADP Systems Manual, Part 6, ADP Systems Security, govern the control. Categories of users include OCR investigators, team leaders, branch chiefs, division directors, PRMs unit staff, Office of Compliance and Enforcement staff.

Retention and disposal: 2 years from date complaint is closed.

System manager(s) and address: Deputy Director, Office of Compliance and Enforcement. Office for Civil Rights, 330 Independence Avenue, S.W., Washington, D.C. 20201.

And, Regional Directors, see Appendix 1 to Case Information Management System HHS OS/OCR System 09–90–0050.

Notification procedure: Contact system manager (above) or Regional Directors (see Appendix 1). Include name and address of complainant, a copy or summary of allegations contained in the original complaint, name of the institution against which the allegation was filed, and the date of the original allegation.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. Request should be made to the system manager in the regional office where the record is most likely to be kept (determined by location of the institution or facility against which the allegation was originally filed.) When this location is in doubt request should be made to the Deputy Director, Office of Compliance and Enforcement, Washington, D.C. (see above, System Manager).

Contesting record procedures: Contact the official(s) at the address specified under system manager or Appendix 1, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Complaint and information filed with the Department by or on behalf of the individual complainant, also data provided by the alleged discriminator and other parties.

Systems exempted from certain provisions of the act: None.

Office of General Counsel (OGC)

09–90–0062

System name: Administrative Claims. HHS/OS/OGC.

Security classification: None

System location: See Appendix.

Categories of individuals covered by the system: HHS employees, recipients of Federal assistance under HHS funded programs, and members of the public who have a claim against HHS or against whom HHS has a claim—Federal Torts Claims Act, Military Personnel and Civilian Employees Claims Act, Federal Claims Collection

Act, Federal Medical Care Recovery Act, Act for Waiver of Overpayment of Pay.

Categories of records in the system: Information that is pertinent to the particular claim being asserted, including accident reports, hospital records, charges for medical services, certifications of overpayment, audits of payroll accounts during periods of overpayments, earning and leave statements, claims officers memorandum, final determinations made on claims, identity of debtors and information pertaining to how debts arose.

Authority for maintenance of the system: Federal Tort Claims Act, 28 U.S.C. 2671–2680, 1346(b); Waiver of Overpayment of Pay Act, 5 U.S.C. 5584; Military Personnel and Civilian Employees Claims Act, 31 U.S.C. 240–243; Federal Claims Collection Act, 31 U.S.C. 951–953; Federal Medical Care Recovery Act, 42 U.S.C. 2651–2653.

Purpose(s): The department maintains in its records only information about an individual which is relevant and necessary to the adjudication of a claim asserted against or by the Department. In accordance with the respective statute and implementing regulations, the private party or HHS employee is informed of the authority for collecting such information, the purpose(s), the routine use(s), and the effect of noncompliance. In addition, this information is also provided to the private party or HHS employee on the appropriate claim form or letter.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses of these records are primarily for adjudicating claims between the U.S. and private parties. Records are used in communicating with, among others, Federal, State, and local law enforcement agencies, private individuals, private and public hospitals, allegedly negligent parties, private attorneys, insurance companies, the United States Attorney and other Federal officials and agencies, individual law enforcement officers, and tribal officials. These communications are all for the purpose of investigating, settling, or denying claims and subsequent litigation action.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system or records may be referred, as a routine use to the appropriate investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt form mandatory disclosure, disclosure may be made from this system of records.

To the Department of Justice or other appropriate federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Legal size files in filing cabinets.

Retrievability: Retrieved by name of the non-Government party, whether claimant, plaintiff, or alleged debtor, in some instances, these records are retrievable by cross reference to index cards, containing name of the party involved and the subject matter.

Safeguards: Office buildings in which files are kept are locked after the close of the business day. These files are only accessible to General Counsel staff.

Retention and disposal: The records are maintained for an indefinite duration.

System manager(s) and address: The agency official responsible for the system policies and practices outline above is:

The General Counsel, Department of Health and Human Services, Office of the General Counsel, Room 722A. Humphrey Building, 200 Independence Avenue, S.W. Washington, D.C. 20201

Notification procedure: Any inquiries regarding these systems of records should be addressed to the System Manager. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under System Manager(s) Address above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: The information in this system comes from a number of sources including private individuals, private and public hospitals, doctors, law enforcement agencies and officials, private attorneys, accident reports, third parties, claimants or beneficiaries and their relatives other Federal agencies, State and local governments agencies and instrumentalities.

Systems exempted from certain provisions of the act: None.

Appendix

Office of the General Counsel—Headquarters Offices, Department of Health and Human Services, Humphrey Building, Room 722A, 200 Independence Avenue, S.W., Washington, D.C. 20201

Office of the General Counsel, Regional Attorney—Region I, Department of Health and Human Services, John F. Kennedy Federal Building, Government Center, Boston, Massachusetts 02203.

Office of the General Counsel, Regional Attorney—Region II, Department of Health and Human Services, Room 3914, 26 Federal Plaza, New York, New York 10007.

Office of the General Counsel, Regional Attorney—Region III, Department of Health and Human Services, P.O. Box 13716, Philadelphia, Pennsylvania 19104.

Office of the General Counsel, Regional Attorney—Region IV, Department of Health and Human Services, Suite 201, 101 Marietta Tower, Atlanta, Georgia 30323.

Office of the General Counsel, Regional Attorney—Region V, Department of Health and Human Services, 300 South Wacker Drive, 18th Floor, Chicago, Illinois 60606.

Office of the General Counsel, Regional Attorney—Region VI, Department of Health and Human Services, Room 1330, 1200 Main Tower Building, Dallas, Texas 75202.

Office of the General Counsel, Regional Attorney—Region VII, Department of Health and Human Services, Room 601, 601 East 12th Street, Kansas City, Missouri 64106.

Office of the General Counsel, Regional Attorney—Region VIII, Department of Health and Human Services, Room 11443, Federal Office Building, 19th Stout Streets, Denver, Colorado 80294.

Office of the General Counsel, Regional Attorney—Region IX, Department of Health and Human Services, 50 Fulton Street, San Francisco, California 94102.

Office of the General Counsel, Regional Attorney—Region X, Department of Health and Human Services, MS 624 Arcade Plaza Building, 1321 Second Avenue, Seattle, Washington 98101.

09–90–0064

System name: Litigation Flies, Administrative Complaints, and Adverse Personnel Actions. HHS/OS/OGC.

Security classification:

None.

System location: See Appendix on the Administrative Claims system. 09900062.

Categories of individuals covered by the system: The individuals on whom records are maintained in this system are individuals who are involved in litigation with the Department or the United States (regarding matters within the jurisdiction of the Department) either as plaintiffs or as defendants in both civil and criminal matters, and individuals who either file administrative complaints with the Department or are the subjects of administrative complaints initiated by the Department, except claims which are the subjects of records maintained in the Administrative Claims System, 09900062.

Categories of records in the system: These records contain information pertaining to the subject matter of the litigation, administrative complaint, or adverse personnel action. Such records would include complaints, litigation reports, administrative transcripts, various litigation documents, investigative materials, correspondence, briefs, court orders and judgments, and in cases where personal injury is involved, principally malpractice cases, evaluations by physician specialists (Public Health Service. Armed Forces, Institute of Pathology).

Authority for maintenance of the system: The authority for maintaining this system are the various statutes, regulations, rules or orders pertaining to the subject matter of the litigation, administrative complaint or adverse personnel action, (e.g., Public Health Service Act, Social Security Act, Civil Rights Act, Federal Food, Drug and Cosmetic Act).

Purpose(s): To represent the Department and its components in court cases and administrative proceedings.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a Federal agency, response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records consist of legal size files stored in file cabinets.

Retrievability: These records are retrievable by name of the plaintiff or the first plaintiff if there is more than one, or by the name of the first defendant if the plaintiff is the United States. In the case of adverse personnel actions, records are retrievable by name of the individual involved.

Safeguards: Office buildings in which these records are maintained are locked after the close of the business day. These records are only accessible by General Counsel staff.

Retention and disposal: These records are maintained for an indefinite duration.

System manager(s) and address: The agency offical responsible for the system policies and practices outlined above is:

The General Counsel, Department of Health and Human Services, Office of the General Counsel, Hubert H. Humphrey Building, Room 722A, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Any inquiries regarding these systems of records should be addressed to the System Manager. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address System Manager(s) and Address above, and reasonably identify the

record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

The information for this system is obtained through a number of sources including the exchange of legal pleadings, documents, formal and informal discovery, program offices and component agencies, private attorneys, State and local governments, their agencies and instrumentalities, and officers of other Federal agencies and the individuals involved.

Systems exempted from certain provisions of the act: None.

09-90-0065

System name: Conflict of Interest—Standards of Conduct Records. HHS/OS/OGC

Security classification:

None.

System location: See appendix on the Administrative Claims system—09900062.

Categories of individuals covered by the system: Information about current and past HHS employees who are or have been the subject of conflict of interest or standards of conduct inquiries or determinations.

Categories of records in the system: These records include information relating to acceptance or offer of gifts, entertainment and favors, outside employment; financial interests; use of government funds, property or official information; partisan political activity; or other matters relating to ethical standards of conduct.

Authority for maintenance of the system: 18 U.S.C. 202, 203, 205, 207, 208, 209; Executive Order 11222; and, 5 CFR 735.104, 45 CFR Part 73.

Purpose(s): To maintain such information about employees or former employees of the Department who have been the subjects of standards of conduct or conflict of interest inquiries.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, or foreign charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are kept in legal size files in filing cabinets.

Retrievability: These records are retrievable by name in most cases. In some instances, these records are retrievable by cross reference to index cards containing the name of the party involved and the subject matter.

Safeguards: These records are only accessible to General Counsel staff. Office buildings in which these records are maintained are locked after the close of the business day.

Retention and disposal: The records are maintained for an indefinite duration.

System manager(s) and address: The agency official responsible for the systems policies and practices outlined above is:

The General Counsel, Department of Health and Human Services, Office of the General Counsel, Humphrey Building, Room 722A, 200 Independence Ave., S.W., Washington, D.C. 20201.

Notification procedure: Any inquiries regarding these system of records should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the System Manager(s) and Address procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

The information contained in this system comes from the individuals involved and from appropriate Department officials.

Systems exempted from certain provisions of the act: None.

09-90-0066

System name: OGC-Attorney Applicant Files HHS-OS-OGC.

Security classification:

None.

System location: See Appendix on the Administrative Claims System—09900062

Categories of individuals covered by the system: Current Attorney Applicants for positions in the Office of the General Counsel.

Categories of records in the system: The Attorney Applicant system consists of a variety of records relating to persons applying for attorney positions. These records contain information about an individual's birth date; home address; telephone number; social security number; educational background (e.g., law schools attended and grades); past work experience; writing samples furnished on request; recommendations from past employers and academic officials.

Authority for maintenance of the system: 5 U.S.C. 3301 et seq.

Purpose(s): To maintain current information concerning individuals interested in employment with the Office of General Counsel.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a)

the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders, alphabetized by name, and in some cases the records are separated by individual law school affiliation and by the date the application is received. In some instances records are located in lockable conserva-file cabinets and in a locked secured room with access limited to those officials whose duties require access. In other instances records are maintained in file rooms or with other Office of the General Counsel files.

Retrievability: These records are retrievable by name.

Safeguards: Access is limited to those HHS officials whose duties require access.

Retention and disposal: These records are retained in a current system for one year, and in some instances two years, after which time they are discarded.

System manager(s) and address: The agency official responsible for the systems policies and practices outlined above is:

The General Counsel, Department of Health and Human Services, Office of the General Counsel, Humphrey Building, Room 722A, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Any inquiries regarding these systems of records should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Contact the official at the address specified under System Manager(s) and Address above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories:

Information is this system of records comes from the individual to whom it applies law school officials and past employers.

Systems exempted from certain provisions of the act: None.

09-90-0067

System name: Invention reports submitted to the Department of Health and Human Services by its employees, grantees, fellowship recipients, and contractors. HHS-OS-OGC.

Security classification:

None.

System location: Office of the General Counsel, Patent Branch, Westwood Building—Room 5A03, 5333 Westbard Avenue, Bethesda, Maryland 20016.

Categories of individuals covered by the system: Department employees, investigators funded under HHS research grants, fellowship awardees, investigators funded under HHS research contracts.

Categories of records in the system: Invention reports.

Authority for maintenance of the system: 45 CFR Parts 6, 7, 8, E.O. 9865 E.O. 10096

Purpose(s): To maintain the information and patent records for the entire Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Department of Justice Claims Section for purpose of defending the Government in litigation.

Scientific personnel, both in this agency, and other Government agencies, and in non-Governmental organizations such as Universities, who possess the expertise to understand the invention and evaluate its importance as a scientific advance.

Contract patent counsel and their employees and foreign contract personnel retained by the Department for patent searching and prosecution in both the United States and foreign Patent Offices.

All other Government agencies whom we contact regarding possible use, interest in, or ownership rights in our inventions.

Prospective licensees or technology finders who may further make the invention available to the public through sale, use or publication.

Parties, such as supervisors of inventors, whom we contact to determine ownership rights, and those parties contacting us to determine the Government's ownership.

The United States and foreign Patent Offices for our filing of patent applications. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, if likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are kept in individual file folders.

Retrievability: Indexed by both inventor's name and case identification number.

Safeguards: During normal business hours a member of the staff of the Patent Section regulates the availability of the files. During evening and weekend hours, the building is closed, with a guard at the front entrance, and only personnel authorized to be in the building are permitted entry.

Retention and disposal: The records are maintained here for the life of any patent issued (seventeen years), for seven years for any invention which is not patented, and they are sent to the Federal Records Center for retention when they are no longer required here.

System manager(s) and address: Patent Counsel, Department of Health and Human Services, Westwood Building—Room 5A03, 5333 Westbard Avenue, Bethesda, Maryland 20016.

Notification procedure: An individual is required to provide his own name together with that of any other individual who contributed to the making of an invention, on which the system contains a record. Any inquiries regarding these systems of records should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under System Manager(s) and Address above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: The information comes from the inventors, their supervisors, other scientists with expertise in the particular area of the invention, scientific publications, newspapers, contract patent counsel who have searched and/or prosecuted the invention, and commercial organizations.

Systems exempted from certain provisions of the act: None.

09-90-0068

System name: Federal Private Relief Legislation, HHS/OS/OGC.

Security classification: None.

System location: This system is located in the:

Division of Legislation,
Office of the General Counsel,
Office of the Secretary,
Room 427 D, Humphrey Building,
Department of Health and Human Services,
200 Independence Ave., S.W.,
Washington, D.C. 20201.

Categories of individuals covered by the system: Private individuals, groups, or institutions for whom a United States Congressman or Senator has introduced a private relief bill.

Categories of records in the system: Background which gives rise to the individual's, group's or institution's claim for private relief legislation.

Authority for maintenance of the system: 5 U.S.C. 301; OMB Circular A–19.

Purpose(s):

To respond to Congressional requests for information regarding private relief legislation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information is used to prepare reports to the Congress, most commonly to the Judiciary Committees of the Senate and the House of Representatives, which reports are thereafter made available to the public under the provisions of 5 U.S.C. 552. In connection with the preparation of those reports, the information contained in this system of records will, as a routine use be disclosed to officers and employees of the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A–19 at various stages of the legislative coordination and clearance process as set forth in that Circular, and may, as a routine use, be disclosed to officers or employees of agencies (as defined in 5 U.S.C. 551(i) and 552(e) other than the agency that maintains the record. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders kept in legal size filing cabinets.

Retrievability: By bill number using card systems maintained by name and by subject.

Safeguards: Immediate access to these records are only by authorized staff. Building is locked at close of business.

Retention and disposal: Retained indefinitely either at System Location or at Federal Record Center where files are sent on a regular predetermined schedule.

System manager(s) and address: Chief, Legislative Reference and Control Service,
Division of Legislation,
Office of the General Counsel,
Department of Health and Human Services,
Room 427 D, Humphrey Building, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Any inquiries regarding the records in question should be made to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the offical at the address specified under System Managers and Address above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: The information in this system comes from the Operating Divisions of the Department, the Public Health Service Agencies, the Office of the Secretary, Congressional Committees, individual Congressmen and Senators, and, in some cases, the subject individual, group, or institution.

Systems exempted from certain provisions of the act: None.

09-90-0071

System name: Social Security Code Cards, HHS/OS/OGC.

Security classification: None.

System location: Office of the Regional Attorney, Department of Health and Human Services, 19th and Stout Streets, Denver, Colorado 80294.

Categories of individuals covered by the system: Individuals referred to in this system are Social Security claimants or wage-earners who have been the subject of Social Security Precedent opinions.

Categories of records in the system: The information in this system consists of the name of the individual on a 3x5 card and a code which cross references to the location of the actual opinion. These cards are separate and distinct from the digest cards which are distributed nationally by the Office of the General Counsel.

Authority for maintenance of the system: 44 U.S.C. Section 3101.

Purpose(s): To enable a researcher to obtain the appropriate Social Security precedent opinion which may be cited in subsequent opinions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The subject information is kept on 3x5 cards which are kept in an office locked after the close of the business day. The opinions which are cross-referenced by the cards are kept in the files in the same office.

Retrievability: Retrievable by name. These cards are used to enable the researcher to obtain the appropriate Social Security precedent opinion which may then be cited in subsequent opinions distributed within OGC and SSA.

Safeguards: Office locked at the close of the business day.

Retention and disposal: Retained indefinitely either at system location or at Federal Records Center where files are sent on a regular predetermined schedule.

System manager(s) and address: The agency official responsible for the system policies and practices outlined above is:

Regional Attorney, Department of HHS, 19th and Stout Streets, Denver, Colorado 80294.

Notification procedure: Any inquiries regarding the records in question should be made at the above address where the records are kept. Required identifying information will be in keeping with Departmental requirements.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under System Managers and Address above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: The information on the cards is gleaned from precedent opinions nationwide as well as those issued from Region VIII.

Systems exempted from certain provisions of the act: None.

Office of Child Support Enforcement (OCSE)

09-90-0074

System name: Federal Parent Locator System, HHS OCSE.

Security classification: None.

System location: Office of the Child Support Enforcement, Department of Health and Human Services, 6110 Executive Blvd., Rockville, Md. 20852.

Categories of individuals covered by the system: Records are maintained on parents being sought for the purpose of establishing or enforcing support obligations against such a parent, or for locating a parent or child in cases of parental kidnapping or child custody determinations.

Categories of records in the system: Name of Absent Parent or Child, Social Security Number (when available). Date of Birth, Place of Birth, Mother's maiden name, Father's full name, State case identification number, local identification number (State use only), State or locality originating request, date of origination, type of case (AFDC, non-AFDC full service, non-AFDC locate only, parental kidnapping), type of military service (Army, Navy, Marines, Air Force, Coast Guard, not in service, retired military (yes or no), Federal employee (yes or no), recent employer's address, known alias (last name only), date requests sent to Federal departments (SAA, IRS, DOD, NPRC, VA, RRB), date of Federal departments' responses, and indication of the type of information received; such as last home or employer address was returned, and/or a Social Security Number was returned. The actual information returned pursuant to a request is retained in a separate file long enough to communicate that information to the State. (See Retention and Disposal section below).

Authority for maintenance of the system: Public Law 93-647.

Public Law 96-611.

Purpose(s): Sections 453 and 454 of the Social Security Act require the Secretary to establish and conduct a Parent Locator Service to obtain information as to the whereabouts of any absent parent when such information is to be used for establishing or enforcing support obligations against such absent parent, establishing or enforcing child custody determinations, or in cases of parental kidnapping.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The Federal Parent Locator Service will use and disclose information from the records maintained in this system to:

(1) Request the most recent home and employment addresses and Social Security Numbers of absent parents from any State or Federal government department, agency or instrumentality which might have such information in its records;

(2) Provide the most recent home and employment addresses and Social Security Numbers to State agencies under agreements covered by title IV-D of the Social Security Act for the purpose of locating absent parents in connection with establishing or enforcing child support obligations.

(3) Provide the most recent home and employment addresses and Social Security Numbers to State agencies under agreements covered by Section 463 of the Social Security Act (42 U.S.C. 663) for the purpose of locating absent parents or children in connection with activities by State courts and Federal attorneys and agents charged with making or enforcing child custody determinations or conducting investigations, enforcement proceedings or prosecutions concerning the unlawful taking or restraint of children;

(4) Provide the most recent home and employment addresses and Social Security Numbers to agents and attorneys of the United States, involved in activities in States which do not have agreements under Section 463 of the Social Security Act (42 U.S.C. 663) for purposes of locating absent parents or children in connection with Federal investigations, enforcement proceedings or prosecutions involving the unlawful taking or restraint of children.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: PLS records are maintained on disk and magnetic tape, and hard copy. The record is defined as a request for address information.

Retrievability: System records can be accessed by either a State assigned case identification number or Social Security Number.

Safeguards: All requests from the State IV-D Agency must certify that (1) they are being made to locate an absent parent for the purpose of establishing paternity or securing child support, or in cases involving parental kidnapping or child custody determinations and for no other purpose; (2) the State IV-D agency has in effect protective measures to safeguard the personal information being transferred and received from the Federal Parent Locator Service; and (3) the State IV-D Agency will use or disclose this information for the purposes prescribed in 45 CFR 302.70. All Federal, State personnel and contractors, are required to take a nondisclosure oath. All input documents will be inventoried and accounted for All inputs and outputs will be stored in a locked receptacle in a locked room. All outputs will be labeled "For Official Use Only" and treated accordingly. Operations control will be vested under a single system manager. Every State using the system will be verified via three levels of user ID's. All data files will be protected by unique passwords and security codes. Remote users have "read only" system access capabilities and cannot read any other function on the system. The system complies with the HHS, ADP Systems Manual Part 6, "ADP Systems Security".

Retention and disposal: Records of address information provided in response to requests are maintained only long enough to communicate the information to the State or the Federal agent or attorney requesting it. After this time they are destroyed.

A record of the request only which includes information provided by the State, Federal agencies contacted, and an indication of the type of information so returned is stored on a history tape and hard copy. All history data will be retained for five years.

System manager(s) and address: Director, Information and Management Systems Division, Office of Child Support Enforcement, Department of Health and Human Services, 6110 Executive Blvd., Rockville, Md. 20852.

Notification procedure: Contact the system manager in writing at the above address and provide your name and address. Additional information, such as your Social Security Number, date of birth or mother's maiden name, may be requested by the system manager in order to distinguish between individuals having the same or similar names.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under system manager above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained from departments, agencies, or instrumentalities of the United States or any State.

Systems exempted from certain provisions of the act: None.

Office of Assistant Secretary for Planning and Evaluation (OASP&E)

09-90-0081

System name: Michigan Longitudinal Study (also called the Panel Study of Income Dynamics) HHS/OS/ASPE.

Security classification:

None.

System location: Institute for Social Research, Survey Research Center, University of Michigan, Ann Arbor, Michigan 48106.

Categories of individuals covered by the system: A national sample of approximately 6800 households containing about 18,000 individuals with information relating to all household members.

Categories of records in the system: The contractor maintains two separate sets of files. One contains identifiable information necessary to conduct the study. The second contains the data the study was designed to collect.

The identifiable information is a list of names, addresses, and current telephone numbers of heads of household and the names of other family members. This file also contains unique identification numbers used to link this year's non-individually identified data with similar data from past years. In addition, because we pay respondents for their participation in the study, we keep certain accounting information on the file--a record of the issuance and cancellation of check. Heretofore, access by the contractor to the identifiable data by name and address has been only to check a report by a respondent that he has not been paid.

Non-individually identifiable information includes demographic characteristics, sources and amounts of income, amount and kind of work education of household head and other family members, changes in family composition through the years, residential mobility, attitudes toward self and work and life style.

Authority for maintenance of the system: Section 1110 of the Social Security Act and section 232 of the community services act.

Purpose(s):

The Social Security Act, revised 1978, Title XI, Section 1110 provides the authority for maintenance of the system. The major purpose of this system of records is to provide for a longitudinal study of income dynamics initiated in 1968. The study traces the economic situation of families and individuals over time, particularly low-income families and individuals. Important objectives are to de-

termine the causes of continuing dependence on financial assistance for persons in poverty and to identify factors that permit families and individuals to move out of poverty. This is the only nationally representative survey following the same families and individuals through the years and providing data suitable for analysis of income dynamics and movement on and off of income transfer programs. Results of this study are used extensively by HHS policy staffs for welfare reform issues. Further, the data are widely disseminated and have been used by many organizations including the Departments of Labor and Agriculture and the General Accounting Office.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disk, paper and card records.

Retrievability: The contractor performs linkage between the data sets through a number common to both the identified data and the non-individually identified statistical data for purposes of validating and matching the year-to-year data. Heretofore, except for checking on the payment to a respondent, linkage between data sets is always from the non-individually identified data to the identified data for purposes of validation of data and management of data collection.

Safeguards: The contractor stores coversheets containing individual identifiers separately from the questionnaires that contain other non-individually identifiable information. Magnetic tapes that contain individually identifiable information are stored in a locked safe, and the cover sheets are stored in locked file cabinets in a limited access area. Magnetic data are further protected by special account numbers and passwords.

The contractor conforms to the Department's ADP Systems Manual, "Part 6, ADP Systems Security." Access to the numbers associated with the identifiable data and the non-individually identified statistical data (which could be used to link the identifiable data—a list of names, addresses, and telephone numbers—with the data collected on the questionnaires) is subject to the specific approval of the Project Director at the Institute for Social Research.

Institute for Social Research: Non-individually identifiable data are used for statistical analysis of changes in economic status through time. Additional research topics include, but are not limited to, residential mobility, family breakup, labor supply, and the effects of government programs.

Information with individual identifiers is used to validate data and to locate respondents from year to year. These uses are performed only by persons employed by the Institute for Social Research and then only on a "need to know" basis. The data without personal identifiers is available to any member of the public or to any agency of government.

Assistant Secretary for Planning and Evaluation: The Office of the Assistant Secretary for Planning and Evaluation conducts analysis of non-individually identifiable data similar to those conducted by the institute for Social Research.

The government project monitor may have access to the identifiable records only to monitor the contractor's performance of the study.

Retention and disposal: It is anticipated that the cover sheets and magnetic files that contain individually identifiable information will be destroyed by shredding or degaussing three years after field work on this study ceases or at such time as it is determined that no further validation of the data will be undertaken.

There are no plans for the destruction of the non-individually identifiable statistical data that have been collected on respondents over the life of this study.

System manager(s) and address: Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services, 200 Independence Avenue, SW, Washington, D.C. 20201.

Notification procedure: Dr. James N. Morgan, Institute for Social Research, University of Michigan, Ann Arbor, Michigan 48106.

An individual requesting notice as to whether the system of records contains information pertaining to him or her should write to the Institute for Social Research project director at the above address, indicating his or her full name, current address and other addresses used since December 31, 1967.

Record access procedures: Individuals who, through the notification procedure set out above, have established that the system of records contains information pertaining to them may inspect and copy those portions of the records pertaining to them at the Institute for Social Research project officer's place of business, or the project officer will establish a date after which the record will be available at a place requested by the individual.

Contesting record procedures: Contact the project officer at the Institute for Social Research, reasonably identify the record, specify the information being contested, and supply the correct information.

Record source categories: Information is obtained either from telephone or face-to-face interviews each year since 1968.

Systems exempted from certain provisions of the act: None.

09-90-0062

System name: Pennhurst Longitudinal Study (also called the Longitudinal Study of the Court Ordered Deinstitutionalization of Pennhurst), HHS/OS/ASPE.

Security classification: None.

System location: Temple University, Developmental Disabilities Center, 963 Ritter Hall Annex, Philadelphia, Pennsylvania 19122.

Categories of individuals covered by the system: Approximately 1,260 respondents including: 450 community residents of the Southeastern Region of Pennsylvania, family members of the retarded residents of Pennhurst State Center, and 60 retarded residents of Pennhurst State Center.

Categories of records in the system: The contractor maintains two separate sets of files. One contains identifiable information necessary to conduct the study. The second contains the data the study was designed to collect.

The identifiable information is a list of names, addresses, and current telephone numbers of respondents where necessary. This file also contains unique identification numbers used to link this year's non-individually identified data with similar data from past years. Non-individually identified information includes: demographic characteristics, data on the communities' reactions to their new mentally retarded neighbors, the attitudes of the parents of the mentally retarded residents of Pennhurst toward the court-ordered closing of a long-term institution and the impact of the Court Order on the residents in terms of the individuals' satisfaction both in the institution and later in the alternative community living arrangement.

Authority for maintenance of the system: Section 232 of the Community Services Act of 1974 and Section 1110 of the Social Security Act.

Purpose(s): The Social Security Act, revised 1978, Title XI, Section 1110 provides the authority for this system. The major purpose for this system of records is to provide a longitudinal study of the Court Ordered community placement of the severely retarded residents of Pennhurst Institution in Pennsylvania. Because other communities may seek legal alternatives to institutionalization of the mentally retarded and use the Pennhurst experience as a model, HHS has funded this study to measure the costs for establishing a comprehensive community service delivery system for large numbers of severely mentally retarded persons. Also studied is the impact that such a relocation has on the mentally retarded persons, their families and the community. Major users of the resulting information are HHS long-term-care programs channeling institutionalized persons into their communities and state, county and other local governments responsible for providing medical and social services to the mentally retarded as well as providers of such services and the judicial system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disc, paper and card records.

Retrievability: The contractor performs linkage between the data sets through a number common to both the identified data and the non-individually identified statistical data for purposes of validating and linking the year to year data.

Safeguards: The contractor stores cover sheets containing individual identities separately from the questionnaires that contain other non-individually identified information. Magnetic tapes that contain non-individually identified information are stored in a locked safe, and the cover sheets are stored in locked file cabinets in a limited access area. Magnetic data are further protected by special account numbers and passwords.

The contractor conforms to the Department's ADP Systems Manual, "Part 6, ADP System Security." Access to the numbers associated with the identifiable data and the non-individually identi-

fied statistical data (which could be used to link the identifiable data—a list of names, addresses, and telephone numbers—with the data collected on the questionnaires) is subject to the specific approval of the Project Director at Temple University.

Temple University: Non-individually identifiable data are used for analysis of the communities' reactions to their new mentally retarded neighbors, the attitudes of the parents of the mentally retarded residents of Pennsylvania toward the court-ordered closing of a long-term institution and the impact of the Order on the residents in terms of the individuals' satisfaction both in the institution and later in the alternative community living arrangement.

Temple University uses information with individual identifiers to validate data and to locate respondents from year to year. Only persons at Temple University perform these analyses and then only on a "need to know" basis. The data without personal identifiers is available to any member of the public or to any agency of government.

Assistant Secretary for Planning and Evaluation: The Office of the Assistant Secretary for Planning and Evaluation conducts analyses of non-individually identifiable data similar to those conducted by Temple University.

The government project monitor may have access to the identified data only to monitor the contractor's performance of the study.

Retention and disposal: It is anticipated that the cover sheets that contain individually identifiable information will be destroyed by shredding or erasing three years after field work on this study ceases or at such time as it is determined that no further validation of the data will be undertaken. There are no plans for the destruction of the non-individually identifiable statistical date that have been collected on respondents over the life of this study.

System manager(s) and address: Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201

Notification procedure: Research Director, Temple University, Developmental Disabilities Center, 963 Ritter Hall Annex, Philadelphia, Pennsylvania 19122.

An individual requesting notice as to whether the system of records contains information pertaining to him or her should write to the Temple University project director at the above address, indicating his or her full name and address.

Record access procedures: Individuals who have established that the system of records contains information pertaining to them may inspect and copy those portions of the records pertaining to them at the Temple University project officer's place of business, or the project officer will establish a data after which the records will be available at a place requested by the individual.

Contesting record procedures: Contact the project officer at Temple, reasonably identify the resord, specify the information being contested, and supply the correct information.

Record source categories: Information is obtained either from telephone or face-to-face interviews with the respondents each year.

Systems exempted from certain provisions of the act: None.

09-90-0086

System name: Medicare Mental Health Demonstration Evaluation (MMHDE), HHS/OS/ASPE.

Security classification: None.

System location: Macro Systems, Inc., 8630 Fenton Street, Suite 300, Silver Spring, Maryland 20910.

Categories of individuals covered by the system: The system will include approximately 7,500 Medicare beneficiaries in 29 States who are receiving mental health services on an outpatient basis. A total of 75 sites include selected Community Mental Health Centers, organized amubiatory clinics, and partial hospitalization programs.

Records will be included on individuals who signed an informed consent form for the demonstration and the evaluation. The Health Care Financing Administration (HCFA) requires certification from the facilities that they acquire and maintain patient consent and release statements which meet the protections of the Privacy Act as well as any additional guarantees required by State law.

Categories of records in the system: The contractor maintains two separate sets of hard copy and magnetic tape and/or disk files. File 1 contains individually identifiable information necessary to link records in order to conduct the evaluation. File 2 contains the data the evaluation was designed to collect.

File 1 has two parts: the first part consists of the cover sheet of the Beneficiary Clinical Record Abstracting Form containing the identifiable information in the form of a list of names, addresses, and Health Insurance (HI) claim numbers of Medicare beneficiaries included in the evaluation. Each cover sheet also includes a unique identification number which links patient-specific data to File 2 described below. The second part is the magnetic tape and disk including the content of the cover sheet.

File 2 has two parts. The first part consists of the Beneficiary Clinical Record Abstracting Form including information from several sources, e.g., Medicare billing records, facility billing records, and facility clinical records. The classes of information include: demographic characteristics; entitlement; sources of income and support; treatment history; diagnosis; referral source; type of service received; type of provider; gross outcome measures; charges by specific facilities to Medicare, Medicaid, third-party payors, and the patients; and, reimbursements, disallowances, and amount not paid by various payors plus the unique individual identifier number linking File 2 to File 1. The second part is the magnetic tape or disk including the information described immediately above.

Only the unique number permits identification of the individual. File 2 is a system of records as long as File 1 is maintained.

Authority for maintenance of the system: 42 U.S.C. 1395b-1(a)(1)(B).

Purpose(s): During 1980, the Health Care Financing Administration (HCFA) and the Alcohol, Drug Abuse, and the Mental Health Administration (ADAMHA) initiated a demonstration project to test changes in Medicare program policies in the area of mental health. Many experts believe that provision of services on an outpatient basis and in the community of the patient is less expensive, of equal medical care quality, and may provide intangible benefits to all patients in comparison to services provided on an inpatient basis in an institution. It is also widely held that current policies and statutory limitations contain discentives for outpatient delivery of mental health services to Medicare beneficiaries. The Office of the Assistant Secretary for Planning and Evaluaiton has initiated an evaluation of this demonstration designed to measure and assess the impact of changing Medicare policies through the provision of outpatient mental health services.

This new system of records will provide the demographic, utilization, and cost data necessary to evaluate the mental health services received by patients in both demonstration and comparision facilities. The evaluation will focus on the utilization, cost, and quality of outpatient mental health services, as well as operational aspects of the demonstration. The data are expected to contribute to development in Federal policy alternatives for Medicare reimbursement for outpatient mental health services as well as assist the Department of Health and Human Services and the Congress in determining whether to offer the demonstration benefits to Medicare beneficiaries nationally.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made on behalf of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and disk, and paper.

Retrievability: The contractor performs linkage between the data sets through a number common to both the identified data and the non-individually identified data only for purposes of linkage, verification, and validation of data.

Safeguards:

The contractor, Macro Systems, Inc., stores cover sheets containing individual identifiers separately from the abstracting sheets that contain other non-individually identifiable information. Magnetic tapes and disks that contain individually identifiable information are stored in a locked safe, and the cover sheets are stored in a locked file cabinet in a limited access area. Computerized data are further protected by special account numbers and passwords.

The contractor conforms to the Department's ADP Systems Manual, "Part 6, ADP System Security." Access to the linkage associated with identifiable data for individuals is subject to the specific approval to the Project Director at Macro Systems, Inc. Information with individual identifiers is used for the purposes of adding and updating the system as well as to validate data and link data sets. After any linking, validation or verifying activity, the identifiers are unlinked from the merged records. These uses are performed only by persons employed by Macro Systems, Inc., and then only on a "need to know" basis.

The independent evaluator will maintain all records in secure storage areas accessible only to authorized employees and will notify all

employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals.

Non-individually identifiable data are used for analysis in support of the evaluation. Research topics of the evaluation include, but are not limited to the following determinations: the effect of the demonstration on utilization of services by Medicare beneficiaries; the cost to Medicare of the demonstration benefits; and the cost to Medicare if the demonstration benefits were applied nationally. The data without personal identifiers are available to any member of the public or to any agency of the government.

The Office of the Assistant Secretary for Planning and Evaluation may conduct analyses of non-individually identifiable data, as necessary.

The Government Project Officer may have access to the identifiable records only to monitor the contractor's performance of the evaluation.

Retention and disposal: The cover sheets and computerized files that contain individually identifiable information will be destroyed by shredding or degaussing no later than three years after field work on this evaluation.

There are no plans for the destruction of the non-individually identifiable data which will be delivered to ASPE when the project ends.

System manager(s) and address: Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: An individual requesting notice as to whether the system of records contains information pertaining to him/her, should write to the Government Project Officer at the address below, indicating his/her full name, current address and any other addresses since March 1981, and Health Insurance (HI) claim number. Simultaneously with requesting notification of inclusion in the system of records, the individual may request record access as described in the "Record Access Procedures" which follows. Project Officer, Medicare Mental Health Demonstration Evaluation, Office of the Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Record access procedures: Individuals who, through the notification procedures set out above, have established that the system of records contains information pertaining to them may request access to those portions of the records pertaining to them by writing the Government Project Officer at the address given above. The Government Project Officer will notify the individual as to the place, for access to the record(s). If the requester prefers, photocopies of the specific material(s) may be sent by mail.

Contesting record procedures: Contact the Government Project Officer at the address given above, reasonably identify the record(s), specify the information being contested, provide reasons for disagreement, and propose substitute information.

Record source categories: Information which is beneficiary-specific will be abstracted from facility billing and clinical records and HCFA billing files.

Systems exempted from certain provisions of the act: None.

09-90-0087

System name: Recipient Survey for the Monthly Reporting and Retrospective Accounting Study/HHS/OS/ASPE.

Security classification: None.

System location: Abt Associates, Inc. 55 Wheeler Street Cambridge, Massachusetts 02138.

Categories of individuals covered by the system: The system will include a sample of approximately 5,000 recipients of Aid to Families with Dependent Children (AFDC)/Food Stamp (FS) programs in three states some of whose cases are active in either the monthly or conventional reporting systems and some others, whose cases have been closed after being active at some point during the experimental period.

Categories of records in the system: The contractor maintains two sets of files, containing the data the evaluation was designed to collect.

One file, the Respondent Information Booklets (RIB) consists of the names, addresses, telephone number of household heads and names and birthdates of household members. It also includes the record of the one-time payment to the respondent. A unique individual identifying number links this file to the other file. Only this unique number permits identification of the individual.

The other file consists of non-individually identifiable information, except for the linking number attached, that include: prior participation in the welfare system and the nature and extent of prior work experience; reporting burden in time and money, promptness and accuracy; receipt of benefits other than their regular check; recipient's understanding of rules and regulations; current circumstances of closed case respondents, and demographics. The file will be retained as magnetic tape and disk.

Authority for maintenance of the system: Section 1115, Social Security Act, as amended.

Purpose(s):

The proposed new system will provide for data on the nature and extent of the effects of the monthly reporting system on the well-being of AFDC clients. This system will determine: (1) how much time, cost, and effort recipients must expend to comply with monthly reporting rules, and the comparable response burden under the pre-existing system; (2) recipient understanding of the experimental and control groups, and recipient attitudes about the two groups; (3) the difference between the experimental and control treatments in the meeting of current need, where "current" refers to the period covered by the payment, and "need" is defined by AFDC program rules; and (4) the extent to which recipients have access to alternative resources over the short term, and are able to budget these various resources.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made on behalf of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disk, paper and card records.

Retrievability: The contractor performs linkage between the data sets through a number common to both the identified data and the non-individually identified data only for purposes of validation of data, and matching and management of data collection.

Safeguards: The contractor, Abt Associates, Inc., stores the Respondent Information Booklet (RIB) containing individual identifiers separately from the interviews in locked file cabinets whose access will be restricted to authorized Abt Associates personnel only. Interviews with non-individually identifiable information are stored separately in a locked safe. Magnetic data are further protected by special account numbers and passwords.

The contractor conforms to the Department's ADP Systems Manual, "Part 6, ADP System Security." Access to the linkage associated with identifiable data for individuals is subject to the specific approval of the Project Director at Abt Associates, Inc. Information with individual identifiers is used to verify that records and personal statements are in substantial agreement and that critical data are not missing. Should there be apparent discrepancies, the correct situation could be identified through follow-ups. These uses are performed only by persons employed by Abt Associates, Inc. and then only on a "need to know" basis. At the conclusion of the data collection and cleaning period, all files containing RIBs will be destroyed.

Non-individually identifiable data are used for analysis in support of the overall demonstration evaluation. Research topics of the evaluation include: payment and caseload effects; payment accuracy; administrative outcomes and recipient effects. The aggregated data without personal identifiers are available to any member of the public or to any agency of the government.

The Office of the Assistant Secretary for Planning and Evaluation may conduct analyses of non-individually identifiable data, as necessary.

The Government Project Officer may have access to the identifiable records only to monitor the contractor's performance of the evaluation.

Retention and disposal: Magnetic files that contain individually identifiable information will be destroyed by shredding or degaussing no more than three years after field work on this evaluation or at such time as it is determined that no further validation of the data will be undertaken.

There are no plans for the destruction of the non-individually identifiable data.

System manager(s) and address: Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: An individual requesting notice as to whether the system of records contains information pertaining to him/her, should write to the Government Project Officer, at the address below, indicating his/her full name, current address and any

other addresses since March 1981. Simultaneously with requesting notification of inclusion in the system of records, the individual may request record access as described in the "Record Access Procedure" Section.

Project Officer, Monthly Reporting Demonstration Project, Room 457F, Office of the Assistant Secretary For Planning and Evaluation, U.S. Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Record access procedures:

Individuals who, through the notification procedures set out above, have established that the sytem of records contains information pertaining to them may request access to those records by writing to the Government Project Officer at the address given above. The Government Project Officer will notify the individual as to the place and time for access to the record(s). If the requestor prefers, and the information requested is not too voluminous, the material may be mailed.

Contesting record procedures: Contact the Government Project Officer at the address given above, reasonably identify the record, specify the information being contested, the rationale for the challenge and supply the information to be substituted.

Record source categories: Information will be obtained from face-to-face interviews, client information systems and recipient case files.

Systems exempted from certain provisions of the act: None.

09-90-0088

System name:

National Long-Term Care Channeling Demonstration (NLTCCD) DHHS/OS/ASPE.

Security classification: None.

System location: Mathematica Policy Research, Inc. (MPR), P.O. Box 2393, Princeton, New Jersey 08540. Channeling Agencies (See Appendix 2).

Categories of individuals covered by the system: The system will include records on a sample of approximately 14,800 individuals in ten states who have signed an informed consent form and are participating in the National Long-Term Care Channeling Demonstration; and approximately 47,450 individuals who apply to receive channeling services but are found inappropriate for the intervention.

Categories of records in the system: "Channeling" is a brokerage process through which elderly and multiply-impaired individuals are referred to receive needed services from two or more agencies. The ten channeling agencies (hereafter referred to as agency) will collect names, addresses, and interveiw information on functional disability and service needs of potential participants, and assign an identification number to each individual. For those individuals who are not appropriate for channeling, personal identifying information will be maintained at the agency. Interview data and a sequential identifier will be forwarded to the evaluation contractor. Appropriate channeling clients will be randomly assigned to treatment or control groups. All information concerning control group members will be forwarded to the evaluation contractor. All data collected by the agency on treatment group members will be maintained at the agency. Screening and non-clinical baseline interview data on treatment group members also will be forwarded with personal identifiers and field identifying numbers to the evaluation contractor. The evaluation contractor will augment the information provided by the agency with data collected from interviews, and from health and social service records.

Independently, the agency will develop hard-copy case records on treatment group members which contain detailed individual identifying data, clinical and other information required to develop care plans and coordinate services, and details of services ordered and utilized. The case records will be maintained up to seven years after an individual dies, withdraws voluntarily from the program, moves out of the area, ceases to be appropriate for channeling services, or is terminated because the project ends. A client tracking system which will include information on client identity and status, will be implemented at all sites. Information from this system will be shared with the evaluation contractor. A further system of records will be maintained at those sites deemed to follow the "complex channeling" model. At these sites, a financial tracking system, some parts of which identify clients either by name or other identifying information, will be implemented to monitor costs of services and to track service authorization and service use.

The evaluation contractor will collect and maintain data describing both individuals and facilities providing long-term care services. Data relating to individuals will include information collected by interview from the individual or his/her proxy and from families or informal care-givers; demographic and economic characteristics; health and functional status; service utilization; and out-of-pocket costs. In addition, utilization and cost data will be collected from Medicare and Medicaid claims and billing records and provider billings records. Individual identifiers will be names, addresses, and health insurance claim numbers for Medicare and Medicaid beneficiaries, as well as identifying numbers supplies by the evaluation contractor.

The use and maintenance of identifying numbers is discussed below in the section on retrievability.

Authority for maintenance of the system: Section 421 of the Older Americans Act, sections 1110, 1115, 1875, and 1881 of the Social Security Act, and sections 1526 and 1533(d) of the Public Health Service Act.

Purpose(s): In 1980, the Department of Health and Human Services (DHHS) initiated the National Long-Term Care Channeling Demonstration to develop and test methods to maximize the efficient use of existing long-term care resources. The Office of the Secretary (Assistant Secretary for Planning and Evaluation), the Administration on Aging, and the Health Care Financing Administration jointly manage this demonstration.

This demonstration was developed in response to serious concern at all levels of government about the rapid increase in nursing home costs, fragmentation of the existing service system, and federal financial incentives for nursing home placement for elders.

This national demonstration and evaluation have been established to test a community care approach to long-term care called "channeling." Channeling provides a central intake point in the community for older persons; a systematic assessment of the individual's needs; and continuing case management to develop, implement, and monitor a plan of care tailored to the individual's changing needs. (The channeling objectives can be found in Appendix 1.)

The channeling concept will be implemented by a community agency in ten states participating in the demonstration. (See Appendix 2.) Two models of channeling will be tested; one which relies on services already existing in the community; and one with additional service resources and a fixed budget approach.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: There will be two routine uses of information in the system. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In addition disclosure will be made to a contractor of AOA, HCFA or ASPE involved in the NLTCCD, for the performance of research and statistical activities in order to accomplish the purposes for which the records are collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disk, paper and card records.

Retrievability: The channeling agencies will assign evaluation contractor-supplied field identifying numbers to each applicant's record. This field identifying number is used for data collection purposes only, and is readily linked by staff with a need-to-know to personal identifiers.

According to the path the individual follows, i.e., becoming a member of the research sample or not, and becoming a member of the treatment or the control group, separation of personal identifiers and descriptions of the individual will take place at different points. For applicants deemed inappropriate at the channeling agency, the record is retrievable only at the channeling agency, where records of these individuals and the agency to which they were referred will be maintained, but detailed information about the applicant will not be kept. For participants in the research sample, the record must remain retrievable for the duration of the research namely for the 18-month period of follow-up after application to channeling during which period individuals are re-interviewed, and for a subsequent period during which additional information is collected and merged with interview data. For treatment group members who are on the caseload of the channeling agency, the records must remain retrievable as long as the individual remains a client and for a period of up to seven years after that. At the research contractor, the data-collection (field) identifying number and any personal identifiers are removed from research files and replaced by a research-file identifying number. Thus, for data collection and validation purposes the "field" identifying number is used, and for file development and maintenance, the research-file identifying number is used. A master "link" file will be maintained which associates the two series of identifying numbers. Access to this file will be restricted to evaluation contractor staff who need to use the file to fulfill their professional duties.

Safeguards: Channeling Agencies: Records will be kept in limited access areas. Records may only be accessed by agency personnel who need to know the contents of the records.

Mathematica Policy Research, Inc.: The evaluation contractor conforms to the DHHS ADP Systems Manual, "Part 6, ADP System Security." A system of separate identifiers is used to maximize security of records. Contact sheets with personal identifiers from interviews and abstracting forms are stored separately from non-individually identifiable data. Magnetic tape files and hard copy files with personal identifiers, and link files, are stored in locked cabinets or limited access areas. Research files are stripped of personal and field identifiers and are encoded with a distinct research identifier. Access to the linkages between identifiers is limited, and subject to the approval of the Project Director at Mathematica Policy Research, Inc.

MPR will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: As explained above, different types of data will be maintained and different retention periods will apply according to whether the applicant is found inappropriate or appropriate, and, if appropriate, whether a treatment or control group member. Treatment and control group members' identifying information will be maintained by MPR through completion of fielding operations in the demonstration, and for a period of three years to allow for future follow-up. The channeling agencies will maintain clinical records on treatment group members for up to seven years after a client is terminated from the program, and limited personal information for individuals found inappropriate for channeling.

Data disposal will consist of shredding the hard copy (and so certifying) and degaussing computer records. There are no plans to dispose of non-identifiable individual data.

System manager(s) and address: Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services, 200 Independence Avenue SW., Washington, D.C. 20201.

Notification procedure: Project Officer, National Long-Term Care Channeling Demonstration Evaluation, Office of the Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services, Room 433F.1, H.H. Humphrey Building, 200 Independence Avenue SW., Washington, D.C. 20201. (202) 245–1794.

An individual requesting notice as to whether the system of records contains information pertaining to him/her, should write to the government Project Officer, at the above address, indicating his/her full name, current address and any other addresses since January, 1982. The individual may simultaneously request record access as described below.

Record access procedures: Individuals who, through the notification procedures set out above, have established that the system of records contains information pertaining to them, may request access to those portions of the records pertaining to them by writing the government Project Officer at the address given above. The government Project Officer will notify the individual as to the place and time for access to the record(s) or if the individual wishes, arrange for mailing the records.

Contesting record procedures: Contact the government Project Officer at the address given above, reasonably identify the record, specify the information being contested, and supply the substitute information.

Record source categories: Individual-specific information will be gathered through interviews with the clients and their families, from providers and from the Medicare and Medicaid claims systems. Information that pertains to the providers will be collected from demonstration files, and executive interviews with health and social services provider personnel.

Systems exempted from certain provisions of the act: None.

Appendix 1

The objectives of the channeling program are:

1. To marshal and direct long-term care resources in a community in ways that contain overall costs;
2. To increase access to a wider range of services than is currently available;
3. To match services used to the identified needs of clients;
4. To concentrate resources on those persons with the greatest need for long-term care;
5. To stimulate the development of needed in-home and community services which do not exist or are in short supply;
6. To reduce the unnecessary use of publicly-subsidized long-term care services, including costly medical and institutional services;
7. To promote efficiency and quality in community long-term care delivery systems;
8. To promote a reasonable division of labor between informal support systems (including families, neighbors, friends), privately-financed services and publicly-financed care; and
9. To maintain or enhance client outcomes, including physical and mental functioning and quality of life.

Appendix 2—Channeling Site Addresses

Florida: Barbara Brodbar, Channeling Director, Miami Jewish Home and Hospital for the Aged, 151 Northeast 52nd Street, Miami, Florida 33137

Kentucky: Shannon Bailey, Site Director, 742 High Street, Hazard, Kentucky 41701

Maine: Joyce Nye, Site Director, Southern Maine Senior Citizens, Inc., P.O. Box 4307, Portland, Maine 04101

Maryland: Betty Gordon, Channeling Project Director, C.A.R.E./Area Agency on Aging, 1114 Cathedral Street, Baltimore, Maryland 21201

Massachusetts: Marilyn Alex, Greater Lynn Senior Services, Inc., 25 Exchange Street, Lynn, Massachusetts 01902

New Jersey: George Legones, Site Director, County of Middlesex, Department of Human Services, 99 Bayard Street, P.O. Box 273, New Brunswick, New Jersey 08903

New York: Cynthia Finazzo, Channeling Director, Rensselaer County, Department for the Aging, 1700 Seventh Avenue, Troy, New York 12180

Ohio: Elaine Woloshyn, Channeling Site Director, Western Reserve AAA, Room 512, Marion Building, 1276 West Third Street, Cleveland, Ohio 44113

Pennsylvania: David Eisenberg, Philadelphia Corp. for Aging, 1317 Filbert Street, Philadelphia, Pennsylvania 19107

Texas: Nancy Wilson, Channeling Project Director, TRIMS Gerontology Center, 1300 Moursund Avenue, Houston, Texas 77030

Region I, Administrative Support Center (ASC)

09–90–0075

System name: MBTA Prepaid Pass Program Participants. HHS RO1–ARD.

Security classification: None.

System location: HHS Office of Director for

Administrative Support Center,
Room 2411, JFK Federal Building,
Boston, Massachusetts 02203.

Categories of individuals covered by the system: Any HHS employee who is participating in the MBTA Pass Program.

Categories of records in the system: Name, Department, SSN, Credit Union Account Number, Type of Plan, and signature of Employee.

Authority for maintenance of the system: Executive Order 011491.

Purpose(s):

To promote employee participation in the President's Energy Program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (a) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; and

(b) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: 3 x 5 cards in file box.

Retrievability: By name.

Safeguards: Office doors locked during nonworking hours.

Retention and disposal: Kept as long as employee is a participant in the Program. Cancellation cards are kept for six months after month cancelled; then destroyed.

System manager(s) and address: Secretary to Director for Administrative Support Center HHS, Room 2411, JFK Federal Building, Boston, Massachusetts 02203.

Notification procedure: Address: Same as above. Identifying Information: Name, Social Security Number (on a purely voluntary basis).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Supplied by employee.

Systems exempted from certain provisions of the act: None.

Office of the Assistant Secretary for Personnel Administration

SYSTEM NUMBER AND SYSTEM NAME:

09-90-0002—Investigatory Material Compiled for Security and Suitability Purposes, HHS/OS/ASPER
*09-90-0006—Applicants for Employment Records, HHS/OS/ASPER
*09-90-0007—Complaints and Inquiries Records—Miscellaneous, HHS/OS/ASPER
*09-90-0008—Conflict of Interest Records, HHS/OS/ASPER
*09-90-0009—Discrimination Complaints Records, HHS/OS/ASPER
*09-90-0010—Employee Alcoholism, Drug Abuse and Emotional Problem Conseling and Referral Records, HHS/OS/ASPER
*09-90-0011—Employee Appraisal Program Records, HHS/OS/ASPER
*09-90-0012—Executive Development Records, HHS/OS/ASPER
*09-90-0013—Federal Employees Occupational Health Program Records, HHS/OS/ASPER
*09-90-0014—Grievances Filed Under Part 771 of 5 C.F.R., HHS/OS/ASPER
*09-90-0015—Grievance Records Filed Under Procedures Established by Labor-Management Negotiations, HHS/OS/ASPER
*09-90-0016—HHS Motor Vehicle Operator Records, HHS/OS/ASPER
*09-90-0017—Pay, Leave, and Attendance Records, HHS/OS/ASPER
*09-90-0018—Personal Records in Operating Offices, HHS/OS/ASPER
*09-90-0019—Special Employment Program Records, HHS/OS/ASPER
*09-90-0020—Suitability for Employment Records, HHS/OS/ASPER
*09-90-0021—Training Management Information System, HHS/OS/ASPER
*09-90-0022—Volunteer EEO Support Personnel Records, HHS/OS/ASPER
*09-90-0036—Employee Suggestion Program Records, HHS/OS/ASPER
*09-90-0059—Federal Advisory Committee Membership Files, HHS/OS/ASPER
*09-90-0069—Unfair Labor Practice Records, HHS/OS/ASPER
*Systems are Department-wide with Office of the Secretary policy guidance but with local operational control.

09-90-0002

System name: Investigatory Material Compiled for Security and Suitability Purposes, HHS/OS/ASPER.

Security classification: None for the system; however, a portion of the records within the system are classified at the level of Confidential and Secret.

System location: Division of Personnel Investigations, Room 523B, Humphrey Building, U.S. Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Categories of individuals covered by the system: Prospective, current, and, former employees and others doing business with the Department.

Categories of records in the system: Security and suitability investigations.

Authority for maintenance of the system: Executive Orders 10450 and 11652.

Purpose(s):

Records in this system are maintained to assist the Secretary and other responsible officials in determining whether the appointment and retention of HHS employees is clearly consistent with the national security and whether they are otherwise suitable for employment. This system contains records of certain applicants to and employees of each Department component. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records may be used as follows:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(2) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(4) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(5) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained in security type vaults or safes or lock bar file cabinets with manipulation proof combination locks.

Retrievability: The records are alphabetically indexed by name and date of birth of the individual subject of the file or by cross reference to another file. Access within HHS is limited to the Secretary, and on a need-to-know basis to other officials having program management responsibility.

Safeguards: Direct access is restricted to authorized Division of Personnel investigation staff. Access to the safes in which the records are stored is limited to those Division of Personnel Investigation employees with appropriate security clearances and the lock combination.

Retention and disposal: Security investigative records on individuals who occupy sensitive positions are maintained during the term of their employment. Other security and suitability investigative records are maintained for ten years if subject to EO 10450. Other files may be destroyed after three years.

System manager(s) and address: Director, Division of Personnel Investigations, Room 523B, Humphrey Bldg., U.S. Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Contact the System Manager. Include name, date of birth, and employment or other affiliation with the Department.

Record access procedures: Contact the System Manager. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the System Manager, reasonably identify the record, and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Federal, state or local agencies maintaining civil, criminal, suitability, or other relevant enforcement informa-

tion or other pertinent information, correspondence and material or data obtained during the course of the conduct of the investigations.

Systems exempted from certain provisions of the act: Individuals will be provided information from this record system except when in accordance with the provisions of 5 U.S.C. 552a(k)(5): 1. disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or 2. if the information was obtained prior to September 27, 1975, disclosure of such information would reveal the identity of a source who provided information under an implied promise that the identity of the source would be held in confidence (45 CFR 5b.11).

09-90-0066

System name: Applicants for Employment Records, HHS/OS/ASPER.

Security classification: None.

System location: This system is located in personnel offices and other offices of the Department authorized to receive applications for employment. See Appendix 1.

Categories of individuals covered by the system: Persons who have applied for Federal employment or are employed in the Federal service.

Categories of records in the system: These records contain information relating to the education and training; employment history and earnings; appraisal of past performance; convictions and offenses against the law; results of written tests; appraisal of potential; honors, awards or fellowships; military service; veterans preference, birthplace; birth date; social security number,; and home address of persons who have applied for Federal employment or are employed in the Federal service and correspondence related thereto. These records may also include information concerning the date of application, qualification status, employment consideration, priority grouping, and other information relating to the consideration of the individual for employment.

Authority for maintenance of the system: 5 U.S.C. 1302, 3301, 3302, Executive Order 10577.

Purpose(s):

Records in this system are used to determine individuals' eligibility and evaluate their qualifications for placement in positions within the Department. These records are maintained in each component of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records may be used: (1) to respond to requests for information from the Office of Personnel Management, Members of Congress, or other inquiries from outside the Department, to the extent their request is compatible with the purpose for which the records are maintained.

(2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(5) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(6) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(7) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(8) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on magnetic tapes, discs, drums, punched cards, microfiche, cards, lists, and forms.

Retrievability: Records are indexed by any combination of name, birth date, social security number and identification number.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: Records are retained until the applicant is selected for a position, or for two years. After the applicant is selected for a position, the records are filed in the Official Personnel Folder which is retained until the employee leaves the Department. If the applicant is not selected for a position within two years, the records are destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-1, item 15.)

System manager(s) and address: Personnel Officers of the Department. See Appendix 1.

Notification procedure: Personnel office to which application is made (see Appendix 1). Individual should provide name, date of birth, social security number, approximate date of record and title of position for which application was made.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Information in this system of records is provided by the individual to whom it applies, is derived from information he or she supplied; or is obtained from information supplied by others.

Systems exempted from certain provisions of the act: None.

Appendix 1

Personnel Offices in Department of Health and Human Services:
Office of the Assistant Secretary for Personnel Administration, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201
Headquarters Personnel Offices:
Personnel Officer, Division of OS Personnel, Office of the Secretary, Department of Health and Human Services, Room 4361—4th Floor, 330 Independence Avenue, SW., Washington, D.C. 20201

Director, Division of Human Resources, Health Care Financing Administration, Department of Health and Human Services, Room G-H-5, East Low Rise Building, 6325 Security Blvd., Baltimore, Maryland 21207

Personnel Officer, Office of Human Development, Department of Health and Human Services, Room 351D, Humphrey Building, 200 Independence Ave., SW., Washington, D.C. 20201

Chief, Office of the Assistant Secretary for Health Personnel Operations Office, Department of Health and Human Services, Room 17-34, Parklawn Bldg., 5600 Fishers Lane, Rockville, Maryland 20857

Director, Office of Personnel Management, Public Health Service, Department of Health and Human Services, Room 18A-55—Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Director, Division of Personnel Management, Alcohol, Drug Abuse, and Mental Health Administration, Department of Health and Human Services, Room 1295—Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Personnel Officer, Saint Elizabeths Hospital, ADAMHA, Department of Health and Human Services, Room 120—E Building, 2700 Martin Luther King Avenue, SE., Washington, D.C. 20032

Personnel Director, 1600 Clifton Road, NE., Atlanta, Georgia 30333

Personnel Officer, Office of the Assistant Secretary for Health, Department of Health and Human Services, Room 17-34, Parklawn Bldg., 5600 Fishers Lane, Rockville, Maryland 20857

Director, Office of Management, Budget and Personnel (OMBP), Social Security Administration, Department of Health and Human Services Room 734, Altmeyer Bldg., 6401 Security Boulevard, Baltimore, Maryland 21235

Personnel Officer, Office of Hearings and Appeals, Social Security Administration, Department of Health and Human Services, 3833 N. Fairfax Drive, Arlington, Virginia 22203

Regional Personnel Offices:

Regional Personnel Officer, Region I, Department of Health and Human Services, John F. Kennedy Federal Building, Government Center—Room 1503, Boston, Massachusetts 02203

Regional Personnel Officer, Region II, Department of Health and Human Services, Federal Building, Room 39-100, 26 Federal Plaza, New York, New York 10278

Regional Personnel Officer, Region III, Department of Health and Human Services, 3535 Market Street, Room 9460, Philadelphia, Pennsylvania 19101

Regional Personnel Officer, Region IV, Department of Health and Human Services, Suite 1601, 101 Marietta Tower, Atlanta, Georgia 30323

Regional Personnel Officer, Region V, Department of Health and Human Services, 31st Floor, 300 S. Wacker Drive, Chicago, Illinois 60606

Regional Personnel Officer, Region VI, Department of Health and Human Services, 18th Floor, 1200 Main Tower Bldg., Dallas, Texas 75202

Division of Personnel Management, National Institutes of Health, Department of Health and Human Services, Room 21—Building 1, 9000 Rockville Pike, Bethesda, Maryland 20205

Personnel Officer, Personnel Office, National Library of Medicine, Department of Health and Human Services, 8600 Rockville Pike, Room M-105, Bethesda, Maryland 20209

Chief, Personnel Management Branch, National Cancer Institute, Department of Health and Human Services, Room 3A19—Building 31, 9000 Rockville Pike, Bethesda, Maryland 20205

Chief, Personnel Management Branch, National Heart and Lung Institute, Department of Health and Human Services, Room 5A32—Building 31, 9000 Rockville Pike, Bethesda, Maryland 20205

Personnel Officer, National Institute of Environmental Health Services, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, North Carolina 27709

Director, Division of Personnel Management, Health Resources Administration, Department of Health and Human Services, Room 9-27, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782

Director, Office of Personnel, Health Services Administration, Department of Health and Human Services, Room 14A-20—Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Personnel Director, Food and Drug Administration, Department of Health and Human Services, Room 4B-09—Parklawn Building HFA-400, 5600 Fishers Lane, Rockville, Maryland 20857

Personnel Officer, Bureau of Health Manpower, Department of Health and Human Services, Room 5B-44—Building 31, 9000 Rockville Pike, Bethesda, Maryland 20015

Personnel Director, Personnel Management Office, Centers for Disease Control, Department of Health and Human Services, Building 1, Room 153A, Regional Personnel Officer, Region VII, Department of Health and Human Services, Room 468, 601 E. 12th Street, Kansas City, Missouri 64106

Regional Personnel Officer, Region VIII, Department of Health and Human Services, Room 1031, Federal Office Building, 1961 Stout Street, Denver, Colorado 80294

Regional Personnel Officer, Region IX, Department of Health and Human Services, 50 United Nations Plaza, San Francisco, California 94102

Regional Personnel Officer, Region X, Department of Health and Human Services, Room 6039 Arcade Plaza Building, 1321 Second Avenue, Mail Stop 627, Seattle, Washington 98101

Other Personnel Offices:

Chief, Personnel Office, Cleveland Branch Office, Region V, Department of Health and Human Services, 14600 Detroit Avenue, Room 500, Cleveland, Ohio 44107

Southern California Operating Center, Region IX, 24000 Avila Road, 4th Floor, Laguna Niguel, California 92677

Personnel Officer, U.S. Public Health Service Hospital, Personnel Section, Department of Health and Human Services, Carville, Louisiana 70721

Personnel Officer, U.S. Public Health Service Hospital, Personnel Section, Department of Health and Human Services, 4400 Ursuline, Galveston, Texas 77550

Personnel Officer, U.S. Public Health Service Hospital, Personnel Section, Department of Health and Human Services, 1131 14th Avenue South, Seattle, Washington 98114

Personnel Officer, U.S. Public Health Service Hospital, Office of Personnel, Department of Health and Human Services, Bay and Vanderbilt Streets, Staten Island, New York 10304

Personnel Officer, U.S. Public Health Service Hospital, Personnel Section, Department of Health and Human Services, 15th Avenue and Lake Street, San Francisco, California 94118

Personnel Officer, U.S. Public Health Service Hospital, Personnel Section, Department of Health and Human Services, 77 Warren Street, Boston, Massachusetts 02135

Personnel Officer, U.S. Public Health Service Hospital, Personnel Section, Department of Health and Human Services, 210 State Street, New Orleans, Louisiana 70118

Personnel Officer, U.S. Public Health Service Hospital, Personnel Section, Department of Health and Human Services, 6500 Hampton Boulevard, Larchmont, Norfolk, Virginia 23508

Personnel Officer, U.S. Public Health Service Hospital, Personnel Management Branch, Department of Health and Human Services, 3100 Wyman Park Drive, Baltimore, Maryland 21211

Personnel Officer, Indian Health Service, Personnel Management Branch, Department of Health and Human Services, P.O. Box 2143, Billings, Montana 59103

Personnel Officer, Indian Health Service, Personnel Section, Department of Health and Human Services, 4005 Federal Office Building, 500 Gold Avenue, S.W., Albuquerque, New Mexico 87101

Personnel Officer, Indian Health Service, Personnel Management Branch, Department of Health and Human Services, 115 4th Avenue, SE., Aberdeen, South Dakota 57401

Personnel Officer, Indian Health Service, Personnel Management Branch, Department of Health and Human Services, 801 East Indian School Road, Phoenix, Arizona 85014

Personnel Officer,

Indian Health Service, Personnel Branch, Department of Health and Human Services, 388 Old Post Office and Courthouse, Oklahoma City, Oklahoma 73102

Personnel Officer, Alaska Area Ofice, Indian Health Service, Department of Health and Human Services, P.O. Box 7-741, Anchorage, Alaska 99501

Personnel Officer, Indian Health Area Office, Office of Personnel, Department of Health and Human Services, Room 200, 921 SW. Washington Street, Portland, Oregon 97205

Personnel Officer, Indian Health Service, Office of Personnel, Department of Health and Human Services, P.O. Box G, Window Rock, Arizona 86515

Personnel Officer, Addiction Research Center, National Institute of Drug Abuse, ADAMHA, Department of Health and Human Services, P.O. Box 12390, Lexington, Kentucky 40511

Personnel Officer, National Institute for Occupational Safety and Health, Department of Health and Human Services, Room 540, U.S. Post Office and Courthouse, 5th and Walnut Street, Cincinnati, Ohio 45202

Chief, Personnel Branch, Mid-Atlantic Program Service Center, Social Security Administration, Department of Health and Human Services, P.O. Box 14008, Philadelphia, Pennsylvania 19108

Chief, Personnel Branch, Northeastern Program Service Center, Social Security Administration, Department of Health and Human Services, 9605 Horace Harding Expressway, Flushing, New York 11368

Chief, Personnel Branch, Southeastern Program Service Center, Social Security Administration, Department of Health and Human Services, 2001 12th Avenue, North, Birmingham, Alabama 35285

Chief, Personnel Branch, Western Program Service Center, Social Security Administration, Department of Health and Human Services, P.O. Box 2000, Richmond, California 94802

Chief, Personnel Branch, Great Lakes Program Service Center, Social Security Administration, Department of Health and Human Services, 165 North Canal Street, Chicago, Illinois 60606

Chief, Personnel Branch, Mid-America Program Service Center, Social Security Administration, Department of Health and Human Services, P.O. Box 15186, Kansas City, Missouri 64106

Personnel Officer, Albuquerque Data Operations Center, Social Security Administration, Department of Health and Human Services, P.O. Box 4429, Station "A", Albuquerque, New Mexico 87106

Personnel Officer, Salinas Data Operations Center, Social Security Administration, Department of Health and Human Services, 100 East Alvin Drive, Salinas, California 93906

Chief, Personnel Branch, Wilkes-Barre Data Operations Center, Social Security Administration, Department of Health and Human Services, V.A. Bldg., Rm. 512, 19 North Main Street, Wilkes-Barre, Pennsylvania 18701

09-90-0007

System name: Complaints and Inquiries Records—Miscellaneous, HHS/OS/ASPER.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records. HHS System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those personnel offices.

Categories of individuals covered by the system: Current and former employees of the Department.

Categories of records in the system: This system consists of records relating to an individual's employment status or conduct while employed by the Department. Examples of these records include: correspondence from employees, Members of Congress, and members of the public alleging misconduct by an employee of the Department, miscellaneous complaints not covered by the Department's formal or informal grievance procedure, informal complaints handled by labor union officials, and miscellaneous debt correspondence received from creditors.

Authority for maintenance of the system: Executive Orders 11222, 10561 and 11491.

Purpose(s):

Records in this system are maintained to initiate, investigate and resolve various complaints and inquiries made by or against Department employees. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto

(2) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(3) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation

or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(8) To respond to Members of Congress and members of the public with regard to complaints or inquiries presented by them.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Filed in folders and index cards.

Retrievability: Records are filed by name. Records are used to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions or pay studies; and for other purposes compatible with the intent for which the records system was created.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: Records are retained until there is no further administrative need for them, the individual leaves the Department, or one year has elapsed, and are then destroyed. (See HHS Personnel Instruction 293–1, Exhibit X293–1–2, item 7.)

System manager(s) and address: Personnel Officers shown in Appendix 1 to Applicants for Employment Records. HHS System 09900006, who service organizational units in which individuals are employed.

Notification procedure: Operating officials in organizational unit in which employee is employed or personnel officers shown as systems managers in Appendix 1 Applicants for Employment Records, HHS System 09900006. Individuals should provide name, organization in which employed, and date of birth.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7)) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information in this system of records is obtained: (1) directly from the individual, or (2) derived from information supplied by the individual, or (3) from information supplied by members of the public, other employees, Members of Congress, Department management officials, or (4) from police and court records relevant to the complaint about the employee.

09-90-0008

System name: Conflict of Interest Records, HHS/OS/ASPER.

Security classification: None.

System location: Personnel Offices of the Department (See Applicants for Employment Records, HHS System 09900006, Appendix 1) or authorized approving officials to be identified by those Personnel Offices.

Categories of individuals covered by the system: Incumbents of Department positions the duties of which are of such a nature that incumbent's outside activities may come in conflict with the incumbent's official duties.

Categories of records in the system: This system consists of a variety of records relating to an employee's conduct and outside activities. In addition to the name of the employee, position title, grade, salary, pay plan, and employing organization, the system includes information about outside employment, outside compensation and related information.

Authority for maintenance of the system: Executive Order 11222.

Purpose(s):

Records in this system are used to determine whether an employee's financial interests or outside activities are in conflict with the employee's duties as a Federal employee. Records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records may be used: (1) by the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(3) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issued a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(7) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(8) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to repre-

sent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Conflict of Interest Records are maintained in file folders.

Retrievability: Records are retrievable by name. They may be used for production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for other purposes compatible with the intent for which the records system was created.

Safeguards: These records are treated as controlled for Official Use Only and made available only to persons specifically authorized to receive them.

Retention and disposal: Records are retained until 2 years after the individual discontinues the activity for which approval was required, or until the individual leaves the Department, and are then destroyed. (See HHS Personnel Instruction 293–1, Exhibit X293–1–1, item 25.)

System manager(s) and address: Personnel Offices of the Department shown in Appendix 1 to Applicants for Employment Records, HHS System 09900006.

Notification procedure: For incumbents who are in position under the Executive Schedule; Office of the Secretary Staff Office Heads; or Principal Regional Officials contact: Deputy Assistant Secretary for Personnel, Office of Personnel, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

For incumbents of positions in the Food and Drug Administration, contact: Director, Policy Management Staff, HFA–20, Food and Drug Administration, 5600 Fisher Lane, Rockville, Maryland 20857.

For incumbents of other positions included in this records system, contact the Personnel Office shown in Appendix 1 to Applicants for Employment Records, HHS System 09900006, which services the organizational units in which the individual is employed. The individual should indicate name, position title, grade and series, and organization in which located.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information in this system of records is: (1) supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by Department officials or other persons such as trustee, attorney, accountant, relative.

09–90–0009

System name:

Discrimination Complaints Records, HHS/OS/ASPER.

Security classification: None.

System location: Office of the Deputy Assistant Secretary for EEO, 200 Independence Avenue, SW., Washington, D.C. 20201.

Offices of designated EEO Officers.

See Appendix 1 for exact locations.

Categories of individuals covered by the system: Individuals or organizations which have consulted an EEO Counselor regarding discrimination on the basis of race, color, religion, sex, national origin, physical disability or age because of a determination or decision made by a Department official or which have filed a third-party allegation of discrimination.

Categories of records in the system: This system of records contains information or documents concerning pre-complaint processing and third-party allegations of discrimination. The records consist of counselors' reports, the initial allegations, letters or notices to the individual or organization, materials placed into the record to support or refute the decision or determination, statements of witnesses, investigative reports, instructions about action to be taken to comply with decisions, and related correspondence, opinions and recommendations.

Authority for maintenance of the system: Executive Order 11478, 42 USC 2000e and 29 USC 633a.

Purpose(s):

These records are used to inititate, investigate, and resolve discrimination complaints within the Department. They are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used:

(1) To respond to a request from a Member of Congress regarding the status of an appeal, complaint or grievance;

(2) To refer to Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions;

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implimenting the statute, or rule regulation or order issued pursuant thereto.

(4) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(5) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(6) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(7) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(8) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(10) Disclosure may be made to a congresional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

(11) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders, binders, and index cards.

Retrievability: These records are indexed by the names of the individuals or organizations on whom they are maintained. They may be used: as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; and to locate specific individuals for personnel research or other personnel management functions.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: The records are retained for four years after final disposition, and are then destroyed. (See HHS Personnel Instruction 293–1, Exhibit X293–1–1, item 26a(1).)

System manager(s) and address: See Appendix 1.

Notification procedure: Individuals and organizations which consulted an EEO counselor or filed a third-party allegation of discrimination are aware of that fact. They may write the appropriate system manager indicated below or the general coordinator if the immediate system manager is unknown, regarding the existence of such records pertaining to them. The inquirers, as appropriate, should provide their name, date of birth, agency in which employed or agency in which the situation arose if different from employing agency, the approximate date, and the kind of action taken, when making inquiries about records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.

Record source categories: a. Individual to whom the record pertains
b. Department or other officials
c. Statements from employees or other witnesses
d. Offical documents relating to the counseling or third-party allegation
e. Correspondence from specific organizations or persons.

Appendix 1

List of Locations and System Managers for EEO Matters General Coordinator:

Deputy Assistant Secretary for EEO, Room 509F, 200 Independence Avenue, SW., Washington, D.C. 20201

System Managers:

Office of the Secretary, EEO Officer, Room 541F Humphrey Building 200 Independence Ave., S.W., Washington, D.C. 20201

Regional Offices:

Region I:
EEO Officer, Room 2403, JFK Federal Building, Boston, Massachusetts 02203

Region II:
EEO Officer, Room 3838–D, 26 Federal Plaza, New York, New York 10278

Region III:
EEO Officer, Room 9200, 11460 Market Street, Philadelphia, Pennsylvania 19101

Region IV:
EEO Officer, 19th Floor, 101 Marietta Tower, Atlanta, Georgia 30323

Region V:
EEO Officer, 35th Floor, 300 S. Wacker Drive, Chicago, Illinois 60606

Region VI:
EEO Officer, Room 904, 1114 Commerce Street, Dallas, Texas 75202

Region VII:
EEO Officer, Room 616D, 601 East 12th Street, Kansas City, Missouri 64106

Region VIII:
EEO Officer, Room 1089, Federal Office Building, 1961 Stout Street, Denver, Colorado 80294

Region IX:
EEO Officer, Room 413, 50 United Nations Plaza, San Francisco, California 94102

Region X:
EEO Officer, Room 6132, Arcade Plaza Building, 1321 Second Avenue, Mail Stop 629, Seattle, Washington 98101

Principal Operating Components and Agencies

Social Security Administration, EEO Officer, Room 739, Administration Building, 6401 Security Boulevard, Baltimore, Maryland 21235

Health Care Financing Administration, EEO Officer, Room 793, East High Rise Building, 6401 Security Blvd., Baltimore, Maryland 21235

Assistant Secretary for Health, EEO Officer, Room 9–A–54, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Health Resources Administration, EEO Officer, Room 10–44, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782

Health Services Administration, EEO Officer, Room 14–18, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Food and Drug Administration, EEO Officer, Room 12–B–03, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Alcohol, Drug Abuse and Mental Health Administration, EEO Officer, Room 17–C–20, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

National Institutes of Health, EEO Officer, Room 2–B–40, Building 31, National Institutes of Health, Bethesda, Maryland 20205

Centers for Disease Control
EEO Officer, Room 2405, Building 1, 1600 Clifton Road, NE., Atlanta, Georgia 30333

Office of Human Development Services, EEO Officer, Room 336E, Humphrey Building, 200 Independence Ave., SW., Washington, D.C. 20201

09–90–0010

System name: Employee Alcoholism, Drug Abuse and Emotional Problem Counseling and Referral Records, HHS/OS/ASPER.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 or designated offices performing counseling functions for employees in oganizational units serviced by these personnel offices, including the Public Health Employee Assistance Program offices lists in Appendix 1 of this notice.

Categories of individuals covered by the system: Department employees who have been counseled for work adjustment, personal or emotional health problems and/or the abuse of alcohol or drugs.

Categories of records in the system: This system contains records of employees who have been counseled and/or referred by a counselor and records of members of employees' families who have been counseled. Examples of information which may be found in this record system include the employee's name, SSN, date of birth, grade, job series, job title, leave record, service computation date, home ad-

dress, home phone number, supervisor's name, name and address of the individual's personal physician, social history, educational background and performance appraisals. Other documents which may also be found in the counselor's file are notes made by the counselor, copies of admonishments and reprimands received by the employee and a record of the supervisor's referral (if the employee was referred by the supervisor).

Authority for maintenance of the system: 44 U.S.C. 3101, 42 U.S.C. 4561, 21 U.S.C. 1180, and 5 U.S.C. 7901.

Purpose(s):

These records are used to help the Department's troubled employees overcome their problems and remain productive employees. They are used to document the nature and effects of the employee's problem and progress and when necessary to refer individuals to appropriate community or private resources for treatment or rehabilitation. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In unusual circumstances, it may be appropriate to disclose information from this system of records:

(1) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(2) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review.

(3) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of components of the Department in connection with such individual;

(4) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. Such disclosures will be restrictively made; in particular, disclosures of information pertaining to an individual with a history of alcohol or drug abuse will be limited in compliance with the restrictions if the Confidentiality of Alcohol and Drug Abuse Patient Records regulations, 42 CFR Part 2.

(5) A record from this system of records may be disclosed as a "routine use" to a recipient for a research purpose, if the Department:

(a) determines that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) determines that the research purpose for which the disclosure is to be made—(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) requires the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project unless the recipient presents an adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) secures a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Employee records are maintained in file folders and on index cards.

Retrievability: Records are filed by name or by case number cross indexed with the employee's name. Anonymous information from these records may also be used to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained.

Safeguards: During the employment of the individual, records are maintained in confidential files separate from the Official Personnel Folder and are located in lockable metal containers or in secured rooms with access limited to those whose official duties require access. Disclosure of the contents of records which pertain to an individual's alcohol or drug abuse is restricted under the provisions of the Confidentiality of Alcohol and Drug Abuse Patient Records regulations, 42 CFR, Part 2, as authorized by 21 U.S.C. 1175 and 42 U.S.C. 4582, as amended by Pub. L. 93–282. To the extent possible, identical restrictions will be applied to the disclosure of the contents of records pertaining to individuals with other problems who are participating in the Public Health Employee Assistance Program.

Retention and disposal: Records are retained until three years after the individual has ceased contact with the counselor, or until the individual leaves the Department, and are then destroyed. (See HHS Personnel Instruction 293–1, Exhibit X293–1–1, item 27a.)

System manager(s) and address: For records of individuals participating in the Public Health Employee Assistance Program conducted by the Public Health Service: The responsible administrator shown in Appendix 1 below. For other individuals' records: The Personnel Officer servicing the installation in which counseling was provided, as shown in Applicants for Employment Records, HHS Systeam 09900006, Appendix 1.

Notification procedure: Inquiries should be addressed to the system manager at the office where counseling was provided. Individual should provide name, grade, organization in which employed, date of birth, and location and approximate date of counseling. When applicable, the special procedures for access to medical records will be followed. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.). When the records pertain to an individual's alcohol or drug use, the procedures in 42 CFR 2.40 will also be followed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access proedures are in accordance with Department Regulations (45 CFR, Section 5b(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) supplied by a member of the individual's family, or 3) derived from information supplied by the individual, or 4) supplied by sources to whom the employee has been referred for assistance, or 5) supplied by Department officials, or 6) supplied by program counselors.

Systems exempted from certain provisions of the act: None.

Appendix 1

Officials of Public Health Employee Assistance Program (Public Health Service)

Director, PHS/Bureau of Medical Services, Division of Federal Employee Occupational Health, Room 13A–40, Fishers Lane, Rockville, Maryland 20857

Administrator, Public Health Employee Assistance Program, Personnel Management Office, Centers for Disease Control, Atlanta, Georgia 30333

Director, PHS/Bureau of Medical Services, Division of Federal Employee Occupational Health, Center Building, Room 108, 6520 Bellcrest Road, West Hyattsville, Maryland 20782

Administrator, Public Health Employee Assistance Program, Office of Occupational Health, National Institutes of Health, Bethesda, Maryland 20010

Chief, Employee Occupational Health Department, Saint Elizabeth's Hospital, Eldridge Building, Room 122, Washington, D.C. 20032

09-90-0011

System name: Employee Appraisal Program Records, HHS/OS/ASPER.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and operating offices in organizational units serviced by those personnel offices.

Categories of individuals covered by the system: Current Federal employees of the Department.

Categories of records in the system: This system contains information which includes employee's name, SSN, employing organization, grade, title, series, and materials relating to the evaluations of employee's performance.

Authority for maintenance of the system: 5 U.S.C. 4302, 5 U.S.C. 3301, 5 U.S.C. 3302, Executive Order 10577.

Purpose(s):

These records are used as a basis for awards, promotions, and other recognition, reduction-in-force standing, adverse actions, retention during probation, and other personnel actions. These records are maintained in each component of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be used:

(1) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions;

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(3) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(8) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(9) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders, on magnetic tape, and on punch cards.

Retrievability: Records are retrievable by name or social security number.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: Appraisals and satisfactory rating are retained until a new appraisal or rating is issued, 2 years have elapsed, or the individual leaves the Department, and are then destroyed. Unsatisfactory and outstanding ratings are filed in the Official Personnel Folder which is retained until the individual leaves the Department. (See HHS Personnel Instruction 293-1. Exhibit X293-1-2, Item 10.)

System manager(s) and address: Personnel Officers shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

Notification procedure: Same as above. Employee should provide name, social security number and organization in which employed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record or specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information in this system of records is provided by the individual, derived from information supplied by the individual or supplied by Department officials.

09-90-0012

System name: Executive Development Records, HHS/OS/ASPER.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

Categories of individuals covered by the system: All members of the Senior Executive Service, supergrade employees (GS-16-18) and equivalents, incumbents of managerial positions and employees in grade GS-13-15 designated as high potential employees.

Categories of records in the system: This system consists of a variety of records relating to an employee's application for, and participation in, the executive development program. In addition to the employee's name, the system contains the employee's title, grade and salary, Social Security Account Number, organization in which employed, date of entry into the Executive Development Program, training needs while participating in the program, individual's development plan, basis for participation in the Executive Development Program.

Authority for maintenance of the system: 5 U.S.C. 4101 et. seq.

Purpose(s):

These records are used to document employee's application for and participation in the executive development program. They may be used as a basis for promotion, transfer, or reassignment. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records is used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(2) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(4) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(5) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(6) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(7) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(8) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(9) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information in this system of records is maintained in file folders, magnetic tape, punch cards, and forms.

Retrievability: Records are indexed by name and Social Security Account Number. They may be used as base for preparing management, budgetary or statistical reports to support organizational planning or manpower utilization studies.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: Records of an unsuccessful applicant are retained for 60 days after notification that he or she was not selected for participation, and are then destroyed. Records of a participant are retained for 5 years after the individual has ceased to participate in the program, and are then destroyed.

System manager(s) and address: Heads of personnel offices which service the organizational unit in which the individual is employed. See Applicants for Employment Records, HHS System 09900006, Appendix 1.

Notification procedure: Same as above. Individuals should include their name, grade, title, and organization when contacting the system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department officials.

09-90-0013

System name: Federal Employees Occupational Health Program Records, HHS/OS/ASPER.

Security classification:

None.

System location:

Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and designated offices performing occupational health services for employees in organizations serviced by those personnel offices.

Categories of individuals covered by the system: Current Federal employees of the Department

Categories of records in the system: This system consists of a variety of records relating to an employee's participation in the Federal Occupational Health Program at units other than those operated by the Division of Federal Employee Health, Public Health Service. Examples of information which may be included in this system are the employee's name, SSN, date of birth, weight, height, medical history, blood type, nature of injury or complaint, type of treatment/medication received, examination findings, and laboratory results.

Authority for maintenance of the system: 5 U.S.C 7901 et seq., P.L. 79-658.

Purpose(s):

These records are used to document visits by employees to health units. They serve as the record of injuries and illnesses and treatment given. Information from this system may be used by Department officials in connection with fitness for duty examinations. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records may be used:

(1) By authorized medical personnel in connection with the performance of their official duties.

(2) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(3) By the Department of Labor in connection with a claim filed by an employee for compensation for job-related injury or disease.

(4) By private contractors engaged in providing medical services under Federal contract.

(5) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(6) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(7) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(8) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a

routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(9) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(10) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(11) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(12) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(13) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in file folders, punch cards and data tape.

Retrievability: Records are retrievable by name, date of birth, and SSN. Information from this system may be used for preparing statistical or summary reports about employee participation in the Federal Occupational Health Program.

Safeguards: During the employment of the individual, medical records are maintained in files separate from the Official Personnel Folder and are located in lockable metal containers or in secured rooms with access limited to those whose official duties require access.

Retention and disposal: Records are retained until the individual leaves the Department. If they have no long-term value they are destroyed at this time. If they have continuing value they may be combined with the Official Personnel Folder which is forwarded to the Federal Personnel Records Center or to the new employing agency, as appropriate.

System manager(s) and address: Personnel Officers shown in Applicants for Employment Records, HHS System 09900006, Appendix 1, who service organizational units in which the individual is employed.

Notification procedure: Inquiries should be addressed to the office where occupational medical services are provided. The individual should include name, SSN, title and organization. An individual who requests notification of or access to a medical record shall, at the time the request in made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6) Federal Register, October 8, 1975, page 47411.)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by the medical officer or nurse providing treatment or medication, or 4) supplied by the individual's private physician.

09-90-0614

System name: Grievances Filed under Part 771 of 5 C.F.R. HHS/OS/ASPER.

Security classification: None.

System location:

Personnel Offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those personnel offices.

Categories of individuals covered by the system: Department employees individually or as a group who have requested personal relief in a matter of concern or dissatisfaction which is subject to the control of Department management.

Categories of records in the system: Information or documents relating to the grievance and personal relief sought; documented materials used in consideration of the grievance, and correspondence related to disposition of the grievance.

Authority for maintenance of the system: 5 U.S.C. 1302, 3301, 3302; Executive Order 10577.

Purpose(s):

Records in this system are used to initiate, consider, and resolve employee grievances filed under part 771 of 5 CFR. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records may be used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(2) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(3) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(8) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service, Impasses Panel) in carrying out their function.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained in file folders, binders and index cards.

Retrievability: Records are indexed by name of individual filing the grievance. Information from this system may be used by Department officials for preparing statistical summary or management reports.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: Records are retained for 3 years after the grievance case is closed, and are then destroyed. (See HHS Personnel Instruction 293–1, Exhibit X293–1–1, item 31a.)

System manager(s) and address: Heads of personnel offices which service organizational units in which employees who submit informal grievances are located. See Applicants for Employment Records, HHS System 09900006, Appendix 1.

Notification procedure: Individuals who have filed grievances are aware of that fact and have been provided information in writing concerning the disposition of the grievance. They may contact the official who signed the written notice, or the System Manager indicated above. They should provide their name, organization in which employed and date of birth and approximate date of the filing of the grievance.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.0

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department officials.

09–90–0015

System name: Grievances Filed Under Procedures Established by Labor-Management Negotiations, HHS/OS/ASPER.

Security classification: None.

System location: Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those personnel offices.

Categories of individuals covered by the system: Current Federal employees of the Department covered by a collective bargaining agreement.

Categories of records in the system: This system of records consists of a variety of records relating to an employee's grievance filed under procedures established by labor-management negotiations. Examples of information which may be included in this system of records are the employee's name, SSN, grade, job title, testimony of witnesses, material placed into the record to support the decision, the arbitrator's decision, the arbitrator's report, and a record of an appeal to the Federal Labor Relations Authority.

Authority for maintenance of the system: Title 5, United States Code, Chapter 71.

Purpose(s):

Records in this system are used to initiate, consider, and resolve employee grievances filed under procedures established by labor-management negotiations. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system may be released to:

(1) The Office of Personnel Management Merit Systems Protection Board (including its office of the Special Counsel), and the Equal Employment Opportunity Commission, in carrying out their functions

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining is advice.

(4) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concering the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(9) The Department of Labor.

(10) The Federal Labor Relations Authority including the General Counsel of the Authority and the Federal Service Impasses Panel.

(11) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(12) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are retrievable by name. Information from this system may be used by Department officials for preparing statistical summary or management reports.

Safeguards: Records maintained by management are stored in secured rooms with access limited to those whose official duties require access.

Retention and disposal: As negotiated by the local parties to the contract.

System manager(s) and address: Personnel Officers shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 who service the organizational unit in which the individual is employed.

Notification procedure: Same as above. Individuals should include their name, grade, title and organizational unit when contacting the system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411)

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by testimony of witnesses, or 4) supplied by union officials, or 5) supplied by Department officials.

Systems exempted from certain provisions of the act: None.

09-90-0016

System name: HHS Motor Vehicle Operator Records, HHS/OS/ASPER.

Security classification: None.

System location: Personnel offices of the Department shown in Applicants For Employment Records, HHS System 09900006, Appendix 1. Issuing Officers for Motor Vehicle Operator Identification Cards and motor pool managers within the organizations serviced by the above personnel offices.

Categories of individuals covered by the system: All Department employees who are required to operate motor vehicles regularly or incidentally in carrying out their official duties.

Categories of records in the system: This system consists of a variety of records related to the issuance of a Government Motor Vehicle Operator's permit. In addition to the name of the employee, the system includes information about the employee's birthplace, SSN, employing organization, number of years driven, type of vehicles operated, current driver's license, number, state issuing driver's license, date license expires, restrictions of state license, sex, date of birth, color or hair, color of eyes, weight, height, records of violations, arrests, and accidents. These records also include expiration dates of Motor Vehicle Operator permit, any limitations imposed on its use and the results of the annual review of each driving record.

Authority for maintenance of the system: 40 U.S.C. 471.

Purpose(s):

These records are used as a basis for issuing a SF-46 "U.S. government Motor Vehicle Operator's Identification Card", to evaluate its use, and to revoke it when appropriate. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information is this system of records may be used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(2) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(3) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(8) By the Office of Personnel Management in carrying out its functions.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in Official Personnel Folder, in file folders, and index cards.

Retrievability: Records are retrievable by name. They may also be used for production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions.

Safeguards: Access to and use of these records are limited to personnel whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: Records are retained for three years after the individual's government motor vehicle operator's permit expires, or the individual leaves the Department, and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit S293-1-1, item 24.)

System manager(s) and address: Personnel Officers of the Department shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

Notification procedure: Issuing officers in organizational units in which employed or systems managers shown above. Individual should provide name and organization in which employed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the officials at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information contained in this system of records is obtained: 1) from information supplied by the individual, or 2) derived from information supplied by the individual, or 3) from information supplied by officials of the Department.

Systems exempted from certain provisions of the act: None.

09-90-0017

System name: Pay, Leave and Attendance Records, HHS/OS/ASPER.

Security classification: None.

System location: Division of Pay Services and Payroll Accounting, Department of Health and Human Services, 330 Independence Avenue SW., Washington, D.C. 20201.

Payroll Liaison Representatives. See Appendix 1, Timekeepers in organizational units serviced by Payroll Liaison Representatives shown in Appendix 1. Personnel offices shown in HHS System 09900006, Applicants for Employment Records, Appendix 1.

HDS Payroll Liaison Officer, Humphrey Bldg., Rm. 347D, 200 Independence Ave., SW., Washington, D.C. 20201.

Categories of individuals covered by the system: All paid employees of the Department of Health and Human Services including PHS Commissioned Corps Personnel.

Categories of records in the system: This system consists of a variety of records relating to pay and leave determinations made about each employee of the Department of Health and Human Services. In addition to the name of the employee, the system includes information such as the employee's date of birth, social security number, home address, grade or rank, employing organization, timekeeper number, salary, Civil Service retirement fund contributions, pay plan, number of hours worked, annual and sick leave accrual rate and usage, annual and sick leave balance, FICA withholdings, Federal, state and city tax withholdings, Federal Employees Government Life Insurance withholdings, Federal Employees Health Benefits withholdings, garnishment documents, savings allotments, union and management association dues withholdings allotments, savings bonds allotments, and Combined Federal Campaign allotments; for Commissioned Corps Personnel, information such as the following is included: years of service, payroll number, base pay, incentive pay, hazardous pay, allowances and Servicemen's Group Life Insurance.

Authority for maintenance of the system: 5 U.S.C. 5501 et seq., 5525 et seq., 6301 et seq.; 42 U.S.C. 201 et seq.; and P.L. 90-83.

Purpose(s):

Records in this system are used to insure that each employee receives the proper pay and allowances; that proper reductions and authorized allotments are made from employees' pay; and that employees are credited and charged with the proper amount of sick and annual leave. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records is used or may be used.

(1) To prepare W-2 Forms to submit to the Internal Revenue Service and to disclose to state and local government agencies having taxing authority pertinent records relating to employees, including name, home address, social security number (in accordance with Section 7 of Public Law 93-579), earned income, and amount of taxes withheld.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(4) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(9) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(10) By the Department of Labor to make compensation determination in connection with a claim filed by the employee for compensation on account of a job-connected injury or disease.

(11) To respond to court orders for garnishment of an employee's pay for alimony or child support.

(12) To respond to orders from IRS for garnishment of an employee's pay for Federal income tax purposes.

(13) To the Department of Treasury for the purposes of preparing and issuing employee salary and compensation checks and U.S. Savings Bonds.

(14) By state offices of unemployment compensation in connection with claims filed by former HHS employees for unemployment compensation.

(15) When an individual to whom a record pertains dies, to disclose information in the individual's record to heirs, executors and legal representatives of beneficiaries.

(16) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(17) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department of any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(18) By financial organizations designated to receive labor organization or management association dues withheld from employee's pay, in order to account for the amounts of such withheld dues which they receive.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, microfilm, punch cards and forms.

Retrievability: Records are maintained by pay period and are retrievable by name, SSN and Timekeeper number within each pay period. Records are also used to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions or pay studies, and for other purposes compatible with the intent for which the records system was created.

Safeguards: Access to and use of these records are limited to personnel whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and disposal: Records submitted by the individual, such as allotment authorization forms, home address forms, and tax withholding forms are retained until superseded by new forms or until the individual leaves the Department. Most of these records are then destroyed. Some of these records must be retained for an additional period, or forwarded to the new employing agency. Time and attendance records are retained for five years and are then destroyed. The automated payroll master record, established when the individual is first employed and continually updated throughout the period of his or her employment, is retained until the individual leaves the Department.

System manager(s) and address: Director, Division of Pay Services and Payroll Accounting, P.O. Box 1825, Washington, D.C. 20013.

Notification procedure: An individual may contact the system manager. An individual also may contact, as appropriate, Payroll Liaison Representatives in Appendix 1 or Personnel Officers shown in HHS System 09900006, Applicants for Employment Record, Appendix 1. Provide name, social security number, timekeeper number and pay period about which inquiring.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410).

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is (1) supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by timekeepers and other Department officials.

Systems exempted from certain provisions of the act: None.

Appendix 1

OS—Payroll Liaison Officer, Office of the Secretary, Room 4317, HHS North Bldg., 330 Independence Avenue, S.W., Washington, D.C. 20201.

HCFA—Payroll Liaison Officer, Health Care Financing Administration, BAY C-6, 1710 Gwynn Oak Avenue, Baltimore, Maryland 21207.

Social Security Administration Headquarters

Payroll Liaison Officer, SSA Headquarters, Room 1M10, Annex Bldg., 6401 Security Blvd., Baltimore, Maryland 21235.

SSA, ORS—Payroll Liaison Officer, Universal Bldg., Room 930, 1875 Connecticut Ave., N.W., Washington, D.C. 20009.

Social Security Administration Program Service Centers

Mid Atlantic—Payroll Liaison Officer, SSA, HHS Program Service Center, P.O. Box 12807, Philadelphia, Pennsylvania 19108.

Payroll Liaison Officer, Northeastern Program Service Center, 9605 Horace Harding Expressway, Flushing, New York 11368.

South Eastern—Payroll Liaison Officer, Birmingham Program Service Center, P.O. Box 1031, Birmingham, Alabama 35201.

Great Lakes—Payroll Liaison Officer, Chicago Program Service Center, 165 North Canal Street, Chicago, Illinois 60606.

Mid-American—Payroll Liaison Officer, SSA, Program Service Center, 601 East 12th Street—Room 1459, Kansas City, Missouri 64106.

Western—Payroll Liaison Officer, San Francisco Program Center, P.O. Box 2000, Richmond, California 94802.

Boston, SSA—Payroll Liaison Officer, SSA, John F. Kennedy Federal Bldg., Government Center, Boston, Massachusetts 02203.

New York, SSA—Payroll Liaison Officer, SSA, 26 Federal Plaza, Room 737, New York, New York 10007.

Philadelphia, SSA—Payroll Liaison Officer, P.O. Box 8788, Philadelphia, Pennsylvania 19101.

Atlanta, SSA—Payroll Liaison Officer, SSA, Suite 1601, 101 Marietta Tower, Atlanta, Georgia 30323.

Cleveland, SSA—Payroll Liaison Officer, SSA, Room 100, 14725 Detroit Ave., Cleveland, Ohio 44107.

Chicago, SSA—Payroll Liaison Officer, SSA, 300 South Wacker Drive, Chicago, Illinois 60606.

Kansas City, SSA—Payroll Liaison Officer, SSA, 601 E. 12th Street, Kansas City, Missouri 64106.

Dallas, SSA—Payroll Liaison Officer, SSA, Room 624, 1114 Commerce Street, Dallas, Texas 75202.

Denver, SSA—Payroll Liaison Officer, SSA, Federal Office Bldg., 19th and Stout Streets, Denver, Colorado 80202.

Seattle, SSA—Payroll Liaison Officer, HHS Regional Personnel Office, Arcade Plaza Bldg., 1321 Second Avenue, Seattle, Washington, 98101.

San Francisco, SSA—Payroll Liaison Officer, HHS Personnel, 50 United Nations Plaza, San Francisco, California 94102.

OHA—Payroll Liaison Officer, Room 335, Webb Building, 801 N. Randolph Street, Arlington, Virginia 22203.

Regional Offices

Region I—Payroll Liaison Officer, SSA Regional Office, John F. Kennedy Federal Building, Government Center, Boston, Massachusetts 02203.

Region II—Regional Personnel Office, Personnel Support Branch, Room 39-130, 26 Federal Plaza, New York, New York 10278.

Region III—Payroll Liaison Officer, Financial Management, P.O. Box 13716, Philadelphia, Pennsylvania 19101.

Regional IV—Payroll Liaison Officer, Room 404, 50 7th Street, N.E., Atlanta, Georgia 30323.

Region V—Payroll Liaison Officer, HHS Personnel, 300 S. Wacker Drive, Chicago, Illinois 60606.

Region VI—Payroll Liaison Officer, Personnel Office, HHS, Main Tower Bldg., 1200 Main Street, Dallas, Texas 75202.

Region VII—Payroll Liaison Officer, Office of Regional Directory, HHS, 601 East 12th Street, Kansas City, Missouri 64106.

Region VIII—Payroll Liaison Officer, Room 1031, Federal Office Bldg., 19th and Stout Street, Denver, Colorado 80294.

Region IX—Payroll Liaison Officer, HHS Personnel, 50 United Nations Plaza, San Francisco, California 94102.

Region X—Payroll Liaison Officer, Regional Personnel Office, Arcade Plaza Bldg., MS 627 Second Avenue, Seattle, Washington 96101.

Cleveland—Payroll Liaison Officer, Room 500, 14600 Detroit Ave., Cleveland, Ohio 44107.

Data Operations Center, SSA—Payroll Liaison Officer, Data Operations Center, P.O. Box 2247, Albuquerque, New Mexico 87103.

U.S. Public Health Service Hospitals

Payroll Liaison Officer, USPHS Hospital, 15th and Lake Street, San Francisco, California 94118.

Payroll Liaison Officer, USPHS Hospital, P.O. Box 3145, Seattle, Washington 98114.

Payroll Liaison Officer, USPHS Hospital, Bay and Vanderbilt Street, Staten Island, New York 10304.

Payroll Liaison Officer, St. Elizabeths Hospital, Room 120, E. Bldg., 2700 Martin Luther King Ave., S.E., Washington, D.C. 20032.

Payroll Liaison Officer, USPHS Hospital, 3100 Wyman Park Drive, Baltimore, Maryland 21211.

Payroll Liaison Officer, USPHS Hospital, 77 Warren Street, Boston, Massachusetts 02135.

Payroll Liaison Officer, USPHS Hospital, Carville, Louisiana 70721.

Payroll Liaison Officer, USPHS Hospital, 4400 Avenue N., Galveston, Texas 77550.

Payroll Liaison Officer, USPHS Hospital, 210 State Street, New Orleans, Louisiana 70118.

Payroll Liaison Officer, USPHS Hospital, 6500 Hampton Blvd., Norfolk, Virginia 23508.

Indian Health Service

Payroll Liaison Officer, PHS Indian Health Service, Room 300, Citizens Bldg., Aberdeen, South Dakota 57401.

Payroll Liaison Officer, Albuquerque Indian Health Service, Federal Office Bldg. and U.S. Courthouse, Room 4006, 500 Gold Avenue, Albuquerque, New Mexico 87101.

Payroll Liaison Officer, Alaska Native Medical Center, P.O. Box 7-741, Anchorage, Alaska 99501.

Payroll Liaison Officer, Indian Health Area Office, P.O. Box 2134, Billings, Montana 59103.

Payroll Liaison Officer, Oklahoma City Area, Indian Health Service, 388 Old Post Office and Courthouse Bldg., Oklahoma City, Oklahoma 73102.

Payroll Liaison Officer, Indian Health Service, 1970 Main Street, Saratoga, Florida 33577.

Payroll Liaison Officer, Phoenix Area Indian Health, 801 E. Indian Medical Center, Phoenix, Arizona 85021.

Payroll Liaison Officer, Phoenix Indian Medical Center, 4212 North 16th Street, Phoenix, Arizona 85016.

Payroll Liaison Officer, IHS-HPSC, P.O. Box 11340, Tucson, Arizona 85734.

Public Health Service

Payroll Liaison Officer, Centers for Disease Control, Personnel Management Office, 1600 Clifton Road, N.E., Atlanta, Georgia 30330.

Payroll Liaison Officer, National Institutes of Health, Room B1B30, Bldg. 31, 9000 Rockville Pike, Bethesda, Maryland 20205.

Payroll Liaison Officer, FDA Payroll Liaison Section, Accounting Branch, HFA-120, Room 11-82, Parklawn Bldg., 5600 Fishers Lane, Rockville, Maryland 20857.

Payroll Liaison Officer, HHS, CDC, NIOSH, Financial Mgmt. Branch, Parklawn Bldg., DANAC 3-32F, 5600 Fishers Lane, Rockville, Maryland 20857.

Payroll Liaison Officer, National Institute of Environmental Health Sciences, NIH, P.O. Box 12233, Research Triangle Park, North Carolina 27709.

HSA, HRA, ASH—Payroll Liaison Officer, PHS, Room 1649, Parklawn Bldg., 5600 Fishers Lane, Rockville, Maryland 20857.

Payroll Liaison Officer, ADAMHA, Room 1399, Parklawn Bldg., 5600 Fishers Lane, Rockville, Maryland 20857.

HHS, HSA, FHPS—Payroll Liaison Officer, Administrative Asst., 6525 Belcrest Road, West Hyattsville, Maryland 20762.

09-90-0018

System name: Personnel Records in Operating Offices, HHS/OS/ASPER.

Security classification: None.

System location: Operating Offices of the Department at the organizational level of the individual's employment. Such offices are located within organizational components serviced by personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

Categories of individuals covered by the system: Current employees of the Department.

Categories of records in the system: This system consists of a variety of records relating to personnel actions and determinations made about an individual while employed. These records may contain information about an individual relating to name; birth date; home address; telephone number; emergency address; social security number; veterans preference; tenure; work connected injuries; employment history; qualifications background; past and present salaries, grades and position titles; training; awards and other recognition; counseling; performance appraisal; conduct; pay and leave; and data documenting reasons for personnel actions, decisions or recommendations made about an employee; and background data and documentation leading to an adverse action being taken against an employee.

Authority for maintenance of the system: 5 U.S.C. 1302, 2951, 4118, 4308, 4506, 7501, 7511, 7521 and Executive Order 10561.

Purpose(s):

These records are used by operating officials in carrying out their personnel management responsibilities. They may be used in this connection in recommending or taking personnel actions such as appointments, promotions, reassignments, within-grade increases, adverse actions; as a basis for employee training, recognition, or disciplinary actions; and as a basis for staffing and budgetary planning and control, organizational planning, and manpower utilization purposes. These records are maintained in each component of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be used:

(1) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(2) In the event an appeal is made outside the Department, records which are relevant may be referred to the appropriate agency charged with rendering a decision on the appeal.

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(4) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(5) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(6) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(7) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(8) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(10) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(11) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders, magnetic tape, and index cards.

Retrievability: Records are indexed by any combination of name, birth date, social security number, or identification number.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: Records are retained until there is no further administrative need to retain them, or the individual leaves the Department, and are then either destroyed, or, if appropriate, are combined with the Official Personnel Folder, which is forwarded to the National Personnel Records Center.

System manager(s) and address: Personnel Officers of the Department. See Applicants for Employment Records, HHS System 09900006, Appendix 1.

Notification procedure: Immediate supervisors of individuals or the administrative offices of the organizational units in which employed. The system manager shown above may also provide further information concerning the existence of this system of records. Individuals should provide their name, social security number, and organization in which employed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records either comes from the individual to whom it applies, is derived from information supplied by the individual, or is provided by Department officials.

Systems exempted from certain provisions of the act: None.

09-90-00-19

System name: Special Employment Program Records, HHS/OS/ASPER.

Security classification: None.

System location: Personnel Offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and operating offices in organizational units services by those personnel offices.

Categories of individuals covered by the system: Current Federal employees of the Department who are participating in special employment programs.

Categories of records in the system: This system consists of a variety of records relating to an employee's participation in special employment programs such as the Upward Mobility College, START, STRIDE, ACCESS, Worker Trainee Opportunity, Junior Fellows, Management Intern, Personnel Intern and the HHS Fellows Program. Examples of information which this records system may contain include the employee's name, SSN, program enrolled in, employing agency, grade, job title, job series, sex, date of birth, status, education background, handicap code, application for employment, position description, assignment evaluations, Veterans preference, job counseling records, and letters of reference and recommendations.

Authority for maintenance of the system: 5. U.S.C. 1301, 3301, 7151 et seq., Executive Order 11813.

Purpose(s):

Records are used by personnel offices and operating officials to select individuals for and monitor their progress in special employment programs; employee development and career planning; and as a basis for taking personnel actions. These records are maintained in each component of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system may be used:

(1) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(4) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an emplyee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's

mission, records in this system of records may be disclosed to such organization.

(8) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(10) In the event of litigation where the defendent is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purposes for which the records collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information in this system of records is maintained in file folders, data tape and punch cards.

Retrievability: Records are retrievable by name and SSN.

Safeguards: Access and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: Records are retained for two years after the individual's participation in a special placement program ends, and are then destroyed. (See HHS Personnel Instruction 293–1, Exhibit X293–1–2, item 9.)

System manager(s) and address: Personnel Officers shown in Applicants for Employment Records, HHS System 09900006, Appendix 1, who service organizational units in which the participant is employed.

Notification procedure: Same as above. Individuals should include their name, SSN, grade, title, and organization when contacting the system manager.

Record access procedures:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.).

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.).

Record source categories: Information in this system of records is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department officials.

09–90–0020

System name:

Suitability for Employment Records, HHS/OS/ASPER.

Security classification:

None.

System location:

Personnel Offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

Categories of individuals covered by the system:

Employees of the Department and applicants for employment.

Categories of records in the system:

This system consists of a variety of records relating to an individual's suitability for employment in terms of character, reputation and fitness, including letters of reference, responses to pre-employment inquiries. National Agency Checks and Inquiries material received from the Office of Personnel Management and Merit Systems Protection Board including its Office of the Special Counsel relating to non-sensitive positions, qualifications and character investigations, and other information which may relate to the suitability of the individual for the position.

Authority for maintenance of the system:

5. U.S.C. 3301, 3302, 7301; Executive Order 10577; Executive Order 11222.

Purpose(s):

Records in this system are used by designated appointing and selecting authorities to make determinations concerning an individual's suitability for employment. These records are maintained in each component of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in these records may be used:

(1) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(4) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are indexed by any combination of name, date of birth, Social Security Number, or identification number.

Safeguards: Records are maintained in confidential files and are located in lockable metal file cabinets or in metal file cabinets in secured rooms with access limited to those whose official duties require access.

Retention and disposal: Records from the Office of Personnel Management and Merit Systems Protection Board including its Office of the Special Counsel concerning applicants for or incumbents of nonsensitive, positions, are retained until a decision is reached on whether to hire or retain the applicant or incumbent, and are then destroyed. Other records in this system are retained until there is no further administrative need for them, the individual leaves the Department, or one year has elapsed, and are then destroyed. (See HHS Personnel Instruction 293–1, Exhibit x293–1–2, items 1 and 2.)

System manager(s) and address:

Heads of personnel offices which service organizational units in which individual is employed or in which he/she applied for employment. See Applicants For Employment Records. HHS, System 09900006, Appendix 1.

Notification procedure: Same as above, individuals should indicate name, Social Security Number, date of birth, and organization in which employed, or to which they applied for employment.

Record access procedures:

Current Department employees or applicants should contact the appropriate system manager shown above. Former Department employees who are employed by the Federal Government who wish to gain access or contest the records maintained on them while employed by the Department should contact the appropriate official of their current employing agency in accordance with the appropriate records system notice of that agency. Former Department employees who have separated from Federal service should direct a request to: National Personnel Records Center, General Services Administration, 111 Winnebago Street, St. Louis, Missouri 63118.

Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories:

Information contained in the system is obtained from:

Applications and other personnel and security forms furnished by the individual.

Information furnished by other Federal agencies.

Information provided by sources such as employers, schools, references, former employers.

Systems exempted from certain provisions of the act:

Individuals will be provided information from the above record system except when in accordance with the provisions of 5 U.S.C. 552a(k)(5); 1. disclosure of such information would reveal the identity of a source who furnished information to the Government under a express promise that the identity of the source would be held in confidence, or 2. if the information was obtained prior to the effective date of Section 3, P.L. 93–579, disclosure of such information would reveal the identity of a source who provided information under an implied promise that the identity of the source woud be held in confidence. (45 CFR 5b.11.)

09–90–0021

System name: Training Management Information System, HHS/OS/ASPER

Security classification: None.

System location: Office of Personnel,

Office of the Assistant Secretary for Personnel Administration, Department of Health and Human Services, 200 Independence Ave., S.W., Washington, D.C. 20201.

Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

Categories of individuals covered by the system: All employees who receive training in a course which was more than 8 hours in length and which was authorized under the authority of the Government Empoyees Training Act.

Categories of records in the system: The Training Management Information System consists of a variety of records relating to training received by an employee. In addition to the name of the employee, the system includes information about the employee's Social Security Account Number, position title, grade, salary, pay plan, series, tenure, years of continuous service, nature of training taken, cost of training and dates of training.

Authority for maintenance of the system: 5 U.S.C. 4101 et seq.: Executive Order 11348.

Purpose(s):

Records in this system are used to maintain a history of employee training, to help determine future training needs, to evaluate the Department's training program, and for audit and budgetary planning purposes. These records are maintained in each component of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system of records is used:

(1) in the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records, in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(2) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employees, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use of the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(4) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(5) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(6) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(7) By the Office of Personnel Management in carrying out its functions.

(8) To other Federal agencies or private organiztions to authorize training.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data tape.

Retrievability: Records are indexed by any combination of name, birth date, SSN or transaction number.

Safeguards: The information is available only to authorized personnel. Personnel screening is used to prevent unauthorized disclosure.

Retention and disposal: Records are retained in the automated data file until the individual leaves the Department.

System manager(s) and address: Deputy Assistant Secretary for Personnel

Office of Personnel
Department of Health and Human Services,
200 Independence Avenue, S.W.,
Washington, D.C. 20201.

Notification procedure: Contact the Deputy Assistant Secretary for Personnel or the personnel office shown in Applicants for Employment Records, HHS System 09900006, Appendix 1, which services the organizational unit in which the individual is employed. The individual should indicate name, position title, grade and series and organization in which located.

Record access procedures: Same as notification procedures. Requester should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify, the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information in this system of record is: 1) supplied directly by the individual, or 2) derived from information supplied by the individual, or 3) supplied by Department or by source of training officials.

Systems exempted from certain provisions of the act: None.

09–90–0022

System name: Volunteer EEO Support Personnel Records, HHS/OS/ASPER.

Security classification: None.

System location: Office of the Deputy Assistant Secretary for EEO, 200 Independence Avenue, S.W., Washington, D.C. 20201.

Office of the designated EEO Officers. See Discrimination Complaints Records System. HHS System 09900009, Appendix 01 for exact locations.

Categories of individuals covered by the system: Individuals who have volunteered or have been proposed for duty as EEO Counselors and discrimination complaint investigators on a part-time basis.

Categories of records in the system: This system of records contains information or documents concerning the personal characteristics of EEO counselors and investigators. The records consist of the name and other identifying data, title, location, training received, information concerning qualifying background, case assignments, and evaluations of EEO counselors and investigators serving on a part-time basis, and related information.

Authority for maintenance of the system: Executive Order 11478, P.L. 92–261, P.L. 93–259.

Purpose(s):

These records are used to identify, locate, and determine the availability of volunteer counselors and investigators for assignment; to determine training needs of counselors and investigators. These records are maintained in each component of the Department. See "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in the records may be used:

(1) To provide resource to another Federal Agency, in response to its request for loan of investigators or counselors.

(2) A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(3) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(4) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(5) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise, refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(6) By the Office of Personnel Management, Merit Systems Protection Board (including its office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(7) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(8) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders, binders and index cards.

Retrievability: These records are indexed by the names of the individuals on whom they are maintained. They may be used: to provide information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; and to locate specific individuals for personnel research or other personnel management functions.

Safeguards: Access to and use of these records are limited to those persons whose official duties require access.

Retention and disposal: The records are maintained up to one year after volunteer has terminated his services, at which time they are destroyed.

System manager(s) and address: See Discrimination Complaints Records System, HHS System 09900009, Appendix 1 for General Coordinator and appropriate Immediate System Manager.

Notification procedure: Individuals who have volunteered or been proposed as counselor or investigators are aware of that fact and the information contained in the record. They may, however, write the immediate system manager or coordinator indicated above regarding the existence of such records pertaining to them. The inquirers, as appropriate, should provide to the immediate system manager or coordinator, their name, agency in which they were proposed or served when making inquiries about records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: a. Individuals to whom the record pertains

b. Department or other officials

c. Official documents relating to appointments and case assignments as counselors and investigators

d. Correspondence for specific persons or organizations

e. Formal reports submitted by the individual in the performance of official volunteer work.

Systems exempted from certain provisions of the act: None.

READEX MICRO

09-90-0036

System name: Employee Suggestion Program Records, HHS/OS/ASPER.

Security classification: None.

System location: This system is located in employee suggestion offices of the Department. See Appendix 1 for exact locations.

Categories of individuals covered by the system: Individuals who have made suggestions in OS and in Principal Operating Components of the Department; and/or suggestions made by individuals in other Federal Departments requiring an HHS evaluation.

Categories of records in the system: Suggestions, evaluations of suggestions, name and address of individuals submitting suggestions, other identifying information such as salary and grade, including position title, and, optionally, a social security account number.

Authority for maintenance of the system: 5 U.S.C. 4501 et seq.

Purpose(s):

Records in this sytem are used to control, evaluate, and make award determinations on employee suggestions. These records are maintained in each component of the Department.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the office of Personnel Management for information, possible award. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained in standard sized file cabinets.

Retrievability: The records are indexed in alphabetical order by the name of the employee submitting the suggestion.

Safeguards: Direct access restricted to authorized staff.

Retention and disposal: Suggestions records are maintained for two years, and sent to Federal Record Center.

System manager(s) and address: See Appendix 1 for overall system manager and immediate system managers.

Notification procedure: Contact the appropriate system manager indicated in Appendix 1.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411).

Record source categories: Incoming suggestions, responses, evaluations and other material obtained during course of adjudication.

Appendix 1

List of System Managers and Locations for Employee Suggestion Matters.

Overall System Manager:

Employee Suggestion Officer, Room 1232, Switzer Building, 330 Independence Avenue, S.W., Washington, D.C. 20201

Immediate System Managers:

Employee Suggestion Officer, Social Security Administration, Annex Building, Room 3-N-6, Baltimore, Maryland 21235

Employee Suggestion Officer, Health Care Financing Administration, GP3, East Low Rise, 6401 Security Blvd., Baltimore, Maryland 21235

Employee Suggestion Officer, Office of Human Development Services, Humphrey Building, Room 345D, 200 Independence Ave. SW., Washington, D.C. 20201

PHS OASH Employee Suggestion Officer, 17-81 Parklawn Building, Rockville, Maryland 20857

CDC Employee Suggestion Officer, 1600 Clifton Road NE., Building 1, 6062, Atlanta, Georgia 30333

FDA Employee Suggestion Officer, 5600 Fishers Lane, Room 957, Rockville, Maryland 20857

HRA Employee Suggestion Officer, Room 9-27, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782

HSA Employee Suggestion Officer, Room 14A.40 Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

ADAMHA Employee Suggestion Officer, 12C-15 Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

NIH Employee Suggestion Officer, Building 31, Room 3-B-07, Bethesda, Maryland 20205

Regional Employee Suggestion Officer, Region I, Department of Health and Human Services, John F. Kennedy Federal Building, Government Center--Room 2411, Boston, Massachusetts 02203

Regional Employee Suggestion Officer, Region II, Department of Health and Human Services, Regional Personnel Office, Operations Branch II, Room 39-120, 26 Federal Plaza, New York, New York 10007

Employee Suggestion Officer, Region III, Department of Health and Human Services, 3535 Market Street, Room 9400, Philadelphia, Pennsylvania 19101

Employee Suggestion Officer, Region IV, Department of Health and Human Services, 101 Marietta Towers, Room 1601, Atlanta, Georgia

Employee Suggestion Officer, Region V, 27th Floor, 300 S. Wacker Drive, Chicago, Illinois 60606

Employee Suggestion Officer, Region VI, Department of Health and Human Services, 1200 Main Towers, Room 1000, Dallas, Texas 75202

Employee Suggestion Officer, Region VII, Department of Health and Human Services, Room 468, 601 E. 12th Street, Kansas City, Missouri 64106

Employee Suggestion Officer, Region VIII, Department of Health and Human Services, Federal Office Building, Room 1031, 1961 Stout Street, Denver, Colorado 80294

Employee Suggestion Officer, Region IX, Department of Health and Human Services, Federal Office Building, Room 419, 50 United Nations Plaza, San Francisco, California 94102

Employee Suggestion Officer, Region X, Department of Health and Human Services, Arcade Plaza, Room 6039, 1321 Second Avenue, Seattle, Washington 98101

09-90-0059

System name: Federal Advisory Committee Membership Files, HHS/OS/ASPER.

Security classification: None.

System location: Department and component committee management offices. See Appendix 1.

Categories of individuals covered by the system: Individuals who have been or are presently members of or are being considered for membership on advisory committees within the jurisdiction of the Department of Health and Human Services. Additionally the system of records contains information about members of the public who have requested that they receive various publications through the inclusion of their names and addresses on various mailing lists.

Categories of records in the system: Information maintained on those individuals who have requested participation on mailing lists is limited to name and mailing address. Information maintained on individuals who are past, present, or recommended members of advisory committees subject to this notice consists of one or more of the

following name, title, sex, place and date of birth, home address, business address, organizational affiliation, phone number, degrees held, general educational background, ethnic background, resume, curriculum vitae, dates of term on advisory committee, status on advisory committee, reason for leaving advisory committee, previous or current membership on other advisory committees, special qualifications of the individual for the advisory committee membership, source who recommended the individual for membership on advisory committee and miscellaneous correspondence. Additionally, memoranda justifying the individual's selection are included in the file in cases in which the individual has served repetitively on advisory committees, has not had a one-year break in service on advisory committees, or where various statutory or other requirements for advisory committee membership cannot be met.

Authority for maintenance of the system: Federal Advisory Committee Act (5 U.S.C. App. I et seq.).

Purpose(s):

Records in this system are used in the administration and management of Federal advisory committees in the Department, including the preparation of reports; quarterly alphabetical listings of past, present, and recommended advisory committee members; lists of vacancies, acceptances, and separations; and documentation of nominations. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Annual Report to the President; administrative reports to OMB and GSA.

In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of is components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. Disclosure may be made to a congressional office from the Record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in hard-copy filed in file cabinets, on index cards, on magnetic tape, or in computer storage.

Retrievability: For the most part records are maintained in an alphabetical index by name of the individual. Certain files are based on other factors, e.g., Advisory Committee name, with a cross index based on an alphabetical listing of individuals. Certain other records are retrievable by individually identifiable computer identification codes. Certain of the mailing lists which are maintained are indexed by ZIP Code and within zone by alphabetical listing by name of the individual. Records from the system are available to the staffs of the respective Advisory Committees, the Committee Management Officers, the Departmental Committee Management Officer and other Departmental staff on a need-to-know basis.

Safeguards: Direct access to records is restricted to authorized personnel through locked files, rooms, and buildings as well as building pass and security guard sign-in systems. Certain facilities are also protected by closed circuit television systems. Computer systems are secured through locked magnetic tape libraries as well as lockword-password computer access systems.

Retention and disposal: Retention is variable from one year to permanent retention depending upon the type of record, e.g., names of former members of advisory committees are retained permanently. Certain records are disposed of by referral to the Federal Records Center. Others are disposed of as trash by the system manager or office of security depending upon the confidentiality of the information contained on the record.

System manager(s) and address: See Appendix 1.

Notification procedure: Same as above with the exception of Food and Drug Administration, contact: FDA Privacy Coordinator (HF-50), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20852.

Verification of identification of individuals inquiring as to information contained in this System shall be in accordance with the procedures outlined in regulations published by the Department of Health and Human Services to implement the Privacy Act.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: The vast majority of information contained in records on individuals is obtained directly from the individual. Other information in the form of references and recommendations is obtained from other private individuals, program personnel, biographical reference books, private organizations, former employers, regional office of HHS, Members of Congress, and other government sources.

Appendix 1

Department of Health and Human Services, Department Committee Management Officer, Departmental Policy Coordinator, Room 522A, Humphrey Bldg., 200 Independence Avenue, S.W., Washington, D.C. 20201

Alcohol, Drug Abuse, and Mental Health Administration, Office of the Administrator, Committee Management Officer, Room 13-103, 5600 Fishers Lane, Rockville, Maryland 20857

Centers for Disease Control, Committee Management Officer, Management Analysis Branch, Room 111 PFY, 255 E. Paces Ferry Road, N.E., Atlanta, Georgia 30305

Food and Drug Administration, Office of Science, Committee Management Office, Room 1137, 5600 Fishers Lane, Rockville, Maryland 20857

Health Care Financing Administration, Records Committee Management Officer, Bay A-1, 1710 Gwynn Oak Avenue, Baltimore, Maryland 21235

Health Resources Administration and Health Services Administration, Office of Program Policy Coordination, Committee Management Officer, Room 9-22, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782

National Institutes of Health, Committee Management Officer, National Institutes of Health, Building 01, Room 303, Bethesda, Maryland 20205

Social Security Administration, OMBP, Office of Management, Budget and Personnel, Committee Management Officer, Room 828, Altmeyer Building, 6401 Security Boulevard, Baltimore, Maryland 21235

Office of the Assistant Security for Health, Committee Management Officer, Room 17B-20, 5600 Fishers Lane, Rockville, Maryland 20857

Office of the Assistant Secretary for Planning and Evaluation, Committee Management Officer, Room 405-F, HHH Building, 200 Independence Ave., S.W., Washington, D.C. 20201

Office of the Assistant Secretary for Human Development Services, Committee Management Officer, Room 308-E, HHH Building, 200 Independence Ave., S.W., Washington, D.C. 20201

09-90-0069

System name: Unfair Labor Practice Records, HHS/OS/ASPER.

Security classification: None.

System location: Personnel Offices of the Department shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those Personnel Offices.

Categories of individuals covered by the system: Current HHS employees and union officials.

Categories of records in the system: This system of records consists of a variety of records relating to an unfair labor practice charge. Examples of information which may be included in this system are the employee's name, Social Security Number, grade, job title, employment history and a variety of work and personnel records associated with the charges and required under proceedings established by Title 5, United States Code, Chapter 71 and Department of Labor Regulations.

Authority for maintenance of the system: Executive Order 11491, as amended.

Purpose(s):

These records are used to initiate, make a determination on, and document a decision made on unfair labor practice charges filed by an employee or union official. These records are maintained in each component of the Department. See also "Retrievability" below.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information in this system may be released to:

1. Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service impasses panel) in carrying out their functions;

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

3. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosures is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders.

Retrievability: Records are retrievable by name. Information from this system may be used by Department officials for preparing statistical summary or management reports.

Safeguards: Records are stored in lockable metal file cabinets. Access to an use of these records are limited to personnel who have a need for the records in performance of official duties.

Retention and disposal: The case files are maintained as long as they may be pertinent for purposes of precedent or as management information devices. When no longer useful for such purposes, they are destroyed.

System manager(s) and address: Personnel Officer shown in Appendix 1 of Applicants for Employment Records, HHS System 09900006, who services the organizational unit in which the individual is employed.

Notification procedure: Contact the systems manager and provide name, approximate date of record, the unfair labor practice charge as specified by the complainant, and management component in which the charge was filed.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

Record source categories: Information in this system of records is:

1. Supplied directly by the individual, or
2. Derived from information supplied by the individual, or
3. Supplied by testimony of witnesses, or
4. Supplied by union officials, or
5. Supplied by Department officials.

Systems exempted from certain provisions of the act: None.

Office of Human Development Services

Table of Contents

System Name and System Number

09–80–0002—Developmental Disabilities Complaints and Correspondence Files. HHS HDS ADD R07.
09–80–0009—ACYF Mailing List. HHS HDS ACYF R10.
09–80–0020—HDS Publications Distribution Mailing List. HHS HDS OPA.
09–80–0021—Data Bank on Delegates and Observers/1981 White House Conference on Aging. HHS HDS WHCOA.
09–80–0022—Longitudinal Evaluation of the National Nutrition Program for the Elderly. HHS HDS AoA.

09–80–0002

System name:

Developmental Disabilities Complaints and Correspondence File HHS HDS ADD OR7.

Security classification: None.

System location: Room 384, 601 East 12th Street, Kansas City, Missouri 64106.

Categories of individuals covered by the system: Individuals who have made inquiries regarding complaints or requested information regarding services from Developmental Disabilities program; and those who have commented to the Department on its proposed rules and practices.

Categories of records in the system: Name and address of individuals submitting correspondence, responses and exchanges of material associated with investigations of complaints or relaying information to appropriate State or local Development Disabilities agencies.

Authority for maintenance of the system: Developmental Disabilities Assistance and Bill of Rights Act (P.L. 94–103, as amended by P.L. 95–602).

Purpose(s):

To assist the States to assure that persons with developmental disabilities receive the care, treatment, and other services neccessary to enable them to achieve their maximum potential and to ensure the protection of the legal and human rights of persons with developmental disabilities.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To members of Congress who inquire on behalf of a constituent; to a State or local agency or institution against which a complaint has been made; See Departmental Regulations, (45 CFR Part 5b) Appendix B Items 1, 8. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained in hard-copy filed in standard file cabinets.

Retrievability: For the most part records are indexed according to State and within each State by alphabetical name of inquirer. Records are available to ADD staff involved in correspondence and investigative processes, including members of the Office of General Counsel. Occasionally, personnel with special expertise in other programmatic areas or responsible persons at State or local agencies may be given records for the purpose of assisting ADD staff in resolution of issues.

Safeguards: Direct access is restricted to authorized ADD staff; access to room in which file cabinets are maintained is limited during non-working hours to those with keys to room.

Retention and disposal: Inquiry records are maintained three years; complaint and investigative records are maintained five years past date of case closing and then sent to Federal Records Center.

System manager(s) and address: Regional Program Director for Developmental Disabilities, 601 East 12th Street, 3rd Floor, Kansas City, Missouri 64106

Notification procedure: Any inquiries regarding these systems of records should be in writing and should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Incoming correspondence, responses and material obtained during course of any investigation, individuals themselves.

Systems exempted from certain provisions of the act: None.

09–80–0009

System name: ACYF Mailing List HHS HDS ACYF R10.

Security classification: None.

System location: Administration for Children, Youth & Families, 1321 2nd Avenue, MS 811, Seattle, Washington 98101.

Categories of individuals covered by the system: Head Start grantees.

Categories of records in the system: Mailing key contains persons' names, titles, and addresses only.

Authority for maintenance of the system: Community Services Act of 1974 (42 U.S.C. 2701).

Purpose(s):

To assist ACYF in carrying out its responsibilities to grantees under the Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her offical capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Addressograph plates.

Retrievability: Indexed by code using letters and numbers; used for correspondence, to distribute program information.

Safeguards: Access by authorized personnel only.

Retention and disposal: List is continually updated. Information is kept as long as accurate.

System manager(s) and address: Head, ACYF, Region X, 1321 2nd Avenue, MS 811, Seattle, Washington 98101.

Notification procedure: Any inquiry regarding these systems of records should be in writing and should be addressed to the System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably indentify the record and specify the information to be contested.

Record source categories: Source of information is directly from grantees.

Systems exempted from certain provisions of the act: None.

09–80–0020

System name: HDS Publications Distribution Mailing List. HHS/HDS/OPA.

Security classification: None.

System location: Room 356G, Hubert Humphrey Bldg., Washington, D.C. 20201.

Categories of individuals covered by the system: State and local governmental units, organizations, individuals and grantees who ask to receive HDS publications.

Categories of records in the system: Name, title, address, interest in HDS programs, addressee's field of activity, type of organization, scope of organization, whether provide information or services or both, and media affiliation, if applicable.

Authority for maintenance of the system: Titles IV-B, IV-E, and XX of the Social Security Act; Developmental Disabilities Assistance and Bill of Rights Act, Pub. L. 94-103, as amended by Pub. L. 95-602; Title VIII of Pub. L. 93-644, as amended, Native American Programs; Pub. L. 95-266, The Child Abuse Prevention and Treatment Act; Children's Bureau Act of 1912; Pub. L. 93-644, as amended, Headstart—Follow Through Act; 42 U.S.C. 5701, Runaway and Homeless Youth Act; and Older Americans Act of 1965, as amended.

Purpose(s):

To assist HDS programs in carrying out their responsibilities to disseminate program information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tape.

Retrievability: Addresses will be retrieved by name, interest in HDS programs, field of activity, type of organization or level of government, scope of organization, whether the addressee provides information or services or both, or type of media.

Safeguards: Access by authorized personnel only.

Retention and disposal: List is annually circularized as required by the Joint Committee on Printing and those not responding are dropped from the list.

System manager(s) and address: Director, Division of Publication and Graphic Services, Office of Public Affairs, 329D, Hubert Humphrey Bldg., Washington, D.C. 20201.

Notification procedure: Any inquiries regarding this system of records should be in writing and should be addressed to the System Manager.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedure above, and reasonably identify the record and specify the information to be contested.

Record source categories: Response to canvass form letters, grant applications, individuals, and governmental units.

Systems exempted from certain provisions of the act: None.

09-80-0021

System name: Data Bank on Delegates & Observers/1981 White House Conference on Aging HHS/HDS/WHCoA.

Security classification: None.

System location: Room 4511, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Categories of individuals covered by the system: Individuals offically nominated, through the allocation plan, to be observers and delegates to the 1981 White House Conference on Aging.

Categories of records in the system: Information forms submitted by nominator(s) including names, addresses, phone numbers, and sex; whether nominees are over or under 55 years of age, reside in urban or rural area, are representative of a minority group, have any special needs such as assistance for the handicapped, personal support services, and translation services, type of nominee such as Congressional or Gubernatoriel membership in major aging organizations, housing and transportation plans for Conference, committee preference and assignment, and authorization to release information.

Authority for maintenance of the system: Pub. L. 95-478, Comprehensive Older Americans Act Amendments of 1978, Title II, 1981 White House Conference on Aging Act.

Purpose(s):

To select delegates and observers for the Conference and provide them with information they will need to participate. The Conference also takes the position that names and mailing addresses of delegates and observers should be available, upon request, to the general public, as these official participants in the Conference have a public responsibility and accountability. In addition, the Conference expects that the press, special groups, and organizations will want to know which delegates are representative of particular interests such as urban/rural residency and minority status.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as follows:

1. Individuals, organizations, and the press, having an active interest in the White House Conference, will be provided with the following information on delegates/observers:
   a. Address;
   b. Age;
   c. Race/Ethnicity;
   d. Rural/Urban.
2. Disclosure may be made to a Congressional Office from the record of an individual in response to an inquiry from the Congressional Office made at the request of that individual.
3. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data will be maintained both in notebooks and through automatic data processing, which will include actual on line disc storage.

Retrievability: Data can be accessed by name of the individual, sex, address, age, race/ethnicity, and/or rural/urban.

Uses of the system within the Department will be to select delegates and observers for the Conference and provide them with information they will need to participate.

Safeguards: We will maintain system security for this system in accordance with National Bureau of Standards guidelines and the Department's ADP System Manual, "Part 6, ADP System Security." Conference employees may access data elements on a "need-to-know" basis. Only staff trained to access the terminal can do so. The software package is designed to require special inquiry for information that the individual has requested not be shared outside of the Conference.

Access to and use of these records are limited to those persons whose official duties require access. The completed forms are filed in notebooks which are locked in file cabinets.

Retention and disposal: Records will be maintained from time of entry through the National Meeting and up to close out of the Conference Office, which is expected to be in May, 1982. This will allow for the use of updated mailing lists for observers and delegates of post-Conference materials such as the final Conference Report.

Hard copy records will be destroyed following the National Meeting itself. Names and addresses of delegates and observers will be placed in the archival records, with a retention time of 11 years.

System manager(s) and address: system manager and address:

Director, Office of Operations, 1961 White House Conference on Aging, 330 Independence Avenue, SW., Room 4059, Washington, D.C. 20201.

Notification procedure: Any inquiries regarding this system of records should be in writing and should be addressed to the System Manager. When requesting notification, an individual should provide his or her name, state of residence, and who nominated the individual to be a delegate or observer.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being

sought. Notification and access requests, where appropriate, should be made at the same time by the requester.

Contesting record procedures: Same as notification and access procedures. Requesters should also reasonably identify the record and specify the information to be contested.

Record source categories: Records are obtained from the official individuals or groups invited to nominate delegates or observers, or from the individuals themselves, who are chosen to be observers or delegates.

Systems exempted from certain provisions of the act: None.

09–80–0022

System name: Longitudinal Evaluation of the National Nutrition Program for the Elderly, HHS, HDS, AoA.

Security classification: None.

System location: Room 3280 HHS, 300 Independence Avenue, S.W., Washington, D.C. 20201. Opinion Research, Inc., North Harrison Street, Princeton, N.J. 08540.

Categories of individuals covered by the system: Participants, former participants, and a control group of non-participants in the National Nutrition Program for the Elderly; also nutrition staff and staff of State and Area Agencies on Aging.

Categories of records in the system: The system contains information of two types, namely data derived from program reviews and data identifying individual variable characteristics. The former includes performance variables, level of participation, structural and organizational variables, contextual variables, operational problems, project and site history. Individual data includes information about nutritional status, health status, isolation, life satisfaction, longevity and institutionalization.

Authority for maintenance of the system: Older Americans Act (Pub. L. 89–73, as amended).

Purpose(s):

The purpose of this system is to assist the Secretary in measuring and evaluating the impact of this program as required by the statute.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. In the event of litigation, where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

3. The Department has contracted with a private firm for the purpose of collecting, collating, analyzing, aggregating or otherwise refining records in this system. Relevant records are in the possession of the contractor. The contractor is required to maintain Privacy Act safeguards with respect to such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Answered questionnaires carrying assigned codes are filed in locked files. The information is transferred to computer tapes.

Retrievability: The matching of identifier codes with the names occurs when the second and subsequent waves of data collection (interviews) are conducted.

Safeguards: Access is restricted to persons authorized to perform specific research tasks defined by terms of the contract with the Administration on Aging. The contractor will adhere to the practices described in the Department's ADP Security Manual, "Part 6, ADP System Security."

Retention and disposal: Records will be retained for three years after the completion of the study and then destroyed.

System manager(s) and address: Director, Division of Research and Evaluation, Room 3280, 300 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Any inquiries regarding this system of records should be in writing and should be addressed to the System Manager. When requesting notification, an individual should provide his or her name, state of residence, and name of the nutrition site where they participate in the program.

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the System Manager at the address specified and reasonably identify the record and specify the information to be contested.

Record source categories: Individuals respond on a voluntary basis to survey questions.

Systems exempted from certain provisions of the act: None.

Health Care Financing Administration

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System Number and System Name
09-70-0001—Medicare Second Surgical Opinion Experiments, HHS/HCFA/ORDS
09-70-0004—Durable Medical Equipment Experiment, HHS/HCFA/ORDS
09-70-0005—Medicare Bill File (Statistics), HHS/HCFA/ORDS
09-70-0006—Medicare Enrollment Records (Statistics), HHS/HCFA/ORDS
09-70-0007—Health Insurance Enrollment Statistics—General Enrollment Period, HHS/HCFA/ORDS
09-70-0008—Supplementary Medical Sample Bill Summary File of Medicare Utilization (Statistics), HHS/HCFA/ORDS
09-70-0010—Current Medicare Survey (Statistics), HHS/HCFA/ORDS
09-70-0011—Evaluation of the Impact of Surgical Screening Based Upon Union Member Utilization of the Pre-Surgical Consultant Benefit (Statistics), HHS/HCFA/ORDS
09-70-0013—Annual 5 Percent Summary File of Services Reimbursed Under the Medicare Program (Statistics), HHS/HCFA/ORDS
09-70-0014—Survey of Physicians' Administrative and Practice Costs and Medicaid Participation, HHS/HCFA/ORDS
09-70-0015—Ambulatory Surgery Research Project, HHS/HCFA/ORDS
09-70-0017—Health Insurance Benefit and Actuarial Sample Control Systems, HHS/HCFA/ORDS
09-70-0018—Actuarial Health Insurance and Supplementary Insurance (Medicare), HHS/HCFA/ORDS
09-70-0019—Actuarial Sample Hospital Stay Record Study, HHS/HCFA/ORDS
09-70-0020—Actuarial Sample of Supplementary Medical Insurance Payments, HHS/HCFA/ORDS
09-70-0021—Health Maintenance Organization Prospective Reimbursement Demonstrations, HHS/HCFA/ORDS
09-70-0022—Muncipal Health Service Program, HHS/HCFA/ORDS
09-70-0023—Evaluation of the Home Dialysis Aide Demonstration, HHS/HCFA/ORDS
09-70-0024—Medicare/Medicaid Hospice Demonstration. HHS/HCFA/ORDS
09-70-0025—Evaluation of the Long-Term Home Health Care Program, HHS/HCFA/ORDS
09-70-0026—Study of the Comparative Effectiveness of State Approaches to Regulation of Medicare Supplemental Policies: Medigap HHS/HCFA/ORDS
09-70-0501—Carrier Medicare Claims Records, HHS/HCFA/BPO
09-70-0502—Health Insurance Master Record, HHS/HCFA/BPO
09-70-0503—Intermediary Medicare Claims Records, HHS/HCFA/BPO
09-70-0504—Beneficiary Parts A and B Uncollectible Overpayment File, HHS/HCFA/BPO
09-70-0505—Supplemental Medical Insurance Accounting Collection and Enrollment System, HHS/HCFA/BPO
09-70-0506—Group Health Plan System, HHS/HCFA/BPO
09-70-0507—Health Insurance Utilization Microfilm, HHS/HCFA/BPO
09-70-0508—Reconsideration and Hearing Case Files (Part A) Hospital Insurance Program, HHS/HCFA/BPO
09-70-0509—Medicare Beneficiary Correspondence Files, HHS/HCFA/BPO
09-70-0510—Alphabetical Name File (Folder) of Health Insurance Program Consultants, HHS/HCFA/BPO
09-70-0512—Review and Fair Hearing Case Files—Supplementary Medical Insurance Program, HHS/HCFA/BPO
09-70-0513—Explanation of Medicare Benefit Records, HHS/HCFA/BPO
09-70-0516—Medicare Physican/Supplier Master File, HHS/HCFA/BPO
09-70-0517—Physican/Supplier 1099 File (Statement for Recipients of Medical and Health Care Payments), HHS/HCFA/BPO
09-70-0518—Medicare Clinic Physician/Supplier Master File, HHS/HCFA/BPO
09-70-0520—End Stage Renal Disease. (ESRD) Program Management and Medical Information System (Registry), HHS/HCFA/BPP
09-70-0521—Medicare Beneficiary Claims for Emergency Services, HHS/HCFA/BPO
09-70-0522—Billing and Collection Master Record System, HHS/HCFA/BPO
09-70-1504—Physical Therapists Proficiency Answer Sheets and Test Results (Medicare), HHS/HCFA/HSQB
09-70-1505—Psychiatric Technician Proficiency Answer Sheets and Test Results (Medicare), HHS/HCFA/HSQB
09-70-1507—Waivered Licensed Practical Nurse Proficiency Exam Answer Sheets and Test Results (Medicare), HHS/HCFA/HSQB
09-70-1509—Complaint Files on Nursing Homes, HHS/HCFA/HSQB
09-70-1510—Professional Qualification Files, HHS/HCFA/HSQB
09-70-2002—HCFA Program Integrity/Program Validation Case Files, HHS/HCFA/BQC

09-70-0001

System name:

Medicare Second Surgical Opinion Experiments, HHS/HCFA/ORDS.

Security classification:

None.

System location:

Blue Cross and Blue Shield of Greater New York, 622 Third Avenue, New York, N.Y. 10017, and 3 Park Avenue, New York, N.Y. 10016, and Blue Cross and Blue Shield of Michigan, 600 Lafayette East, Detroit, Mich. 48226, and Abt Associates, Inc., 55 Wheeler Street, Cambridge, Mass. 02138.

Categories of individuals covered by the system: Physicians who practice, and Medicare beneficiaries who reside in the carrier area of Blue Cross and Blue Shield of greater New York (plus Queens) or in Macomb, Oakland, or Wayne Counties for which the Medicare carrier is Blue Cross and Blue Shield of Michigan.

Physicians who practice, and Medicaid recipients who reside in the States of Massachusetts and Connecticut or Vermont. Persons contacting National Second Surgical Opinion Program (NSSOP) listholders.

Categories of records in the system: Physicians: personal identification and demographic data, attitudes toward second opinion programs, clinical details and prognosis of patients who have sought second opinions, estimates of the use of second opinions by their patients.

Beneficiaries: personal identification demographic data, and health status information pertinent to advisability of patient undergoing elective surgery, surgical recommendations/discussions, treatment received, patient health attitudes, awareness of second opinion programs, satisfaction with second opinion programs.

Authority for maintenance of the system: Section 402 of the Social Security Amendments of 1967, P.L. 90-248, as amended by Section 222(b) of the Social Security Amendments of 1972, P.L. 92-603, 42 U.S.C. 1395b-1.

Purpose(s):

To provide data necessary to operate second opinion referral centers and to determine the impact of second opinion programs on Medicare costs, surgery rates, consumer and provider decision-making regarding surgery, and quality of care.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Blue Cross and Blue Shield of greater New York and Blue Cross and Blue Shield of Michigan will use the data to: (a) operate referral centers to help eligible Medicare beneficiaries locate consultants and obtain second/third opinions, (b) collect information necessary to conduct referral operations and evaluate the impact of the program, and (c) modify claims processing systems to permit waiver of co-payment and deductible requirements under Part B of Medicare on all second/third surgical opinion claims (i.e., physician and ancillary service costs). The Office of Research, Demonstrations and Statistics (ORDS), HCFA, will use the information to coordinate all data collection, reimbursement, and evaluation activities. HCFA will contract via request for proposals with an independent third party which will use data in the system to evaluate the impact of the second surgical opinion programs.

(2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(3) In event of litigation where the defendant is: (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her indi-

vidual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hardcopy intake forms, first opinion physician/surgeon reports and consultants' reports will be stored in locked metal file cabinets in the referral centers established within the contractors' carrier offices. Completed data tapes created from hardcopy forms will be stored in the tape libraries maintained by the contractors for storage of routine Medicare claims tapes and subject to the same security precautions.

Retrievability: Hardcopy stored in referral centers will be retrievable by beneficiary name. Beneficiary information stored on tape will be retrievable by beneficiary name and health insurance claim number; provider information stored on tape will be retrievable by physician name and provider number.

Where applicable, the evaluation contractor will merge the systems records created by survey sampling activities with systems records already covered by this systems notice. The systems records created by survey activity are temporary in nature, and patient and physician identifiers will not be retained.

Safeguards: All records will be retained in secure storage areas accessible only to authorized employees of Blue Cross and Blue Shield of Greater New York, Blue Cross and Blue Shield of Michigan, and the evaluation contractor staff. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals. After the hardcopy and tapes are validated and analyzed by the evaluation contractor, they will be returned to HCFA.

For computerized records, where appropriate, ADP systems security procedures will be instituted with reference to guidelines contained in the DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g., use of password access). By taking all the aforementioned precautions, HCFA has reduced the risk of unauthorized access to a minimum.

Retention and disposal: Hardcopy data collection forms and magnetic data tapes with identifiers will be retained in secure storage areas. The disposal technique of degaussing will be used to strip magnetic tape of all identifying names and numbers in December 1987. Hardcopy will be destroyed at this time.

System manager(s) and address: Director, Office of Research, Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue S.W., Washington, D.C. 20201.

Notification procedure: Any physician or Medicare beneficiary who participates in this demonstration as a provider or recipient of service may request his or her data record in writing. This request should be addressed to the system manager. To obtain data on physicians, the requestor should provide the name and business address of the physician; to obtain data on a Medicare beneficiary, the requestor should provide the beneficiary's name and home address.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with Department regulations (45 CFR, section 5b.5(a)(2)).

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. These procedures are in accordance with Department Regulations (45 CFR, section 5b.7).

Record source categories: Referral Center Intake Forms are completed by a referral center analyst upon receiving a call from a Medicare beneficiary requesting a second opinion under the demonstrations. First Opinion Physician/Surgeon Report Forms are completed by the first opinion physician in the Blue Cross and Blue Shield of Michigan demonstration and by the first surgeon in the Blue Cross and Blue Shield of Greater New York demonstration. The consultant's report is completed by second/third opinion consultants who are participating in the demonstrations.

NSSOP Patient Intake Log to be completed by NSSOP listholders. NSSOP Intake Log Patient Followup Questionnaire to be completed by the evaluation contractor through telephone survey. Telephone Questionnaire of Medicare recipients in Connecticut or Vermont to be completed by the evaluation contractor. Patient Interview of Medicare beneficiaries in New York and Medicaid recipients in Massachusetts and Connecticut or Vermont to be completed by the evaluation contractor. Physician Mail Questionnaire to be completed by first opinion and second opinion physicians of patients who participate in the Patient Interviews. Physician Mail Questionnaire to be completed by surgeons who practice in Macomb, Oakland, and Wayne Counties, Michigan. Patient telephone survey of Medicare beneficiaries who reside in Macomb, Oakland, and Wayne Counties, Michigan to be completed by the evaluation contractor.

Systems exempted from certain provisions of the act: None.

09–70–0004

System name:

Durable Medical Experiment, HHS, HCFA, ORDS.

Security classification:

System location:

Health Care Financing Administration, Office of Research, Demonstrations and Statistics, Office of Demonstrations and Evaluation, Room 1–E–6, Oak Meadows Building, Baltimore, Maryland 21235.

Categories of individuals covered by the system:

Medicare beneficiaries acquiring durable medical equipment (DME) under Title XVIII of the Social Security Act in the following States or portions thereof during the course of the experiment: California, Florida, Idaho, Minnesota, Mississippi, New Mexico, New York, Tennessee, Virginia, Washington, and Wyoming.

Categories of records in the system:

Administrative, billing, and descriptive information involving the purchase and/or rental of durable medical equipment under Title XVIII (Medicare Part B).

Authority for maintenance of the system:

Section 245 of Public Law 92–603 (Social Security Amendments of 1972).

Purpose(s):

In accordance with section 245 of Public Law 92–603, the Secretary of HHS was authorized to conduct experimentation involving payments for durable medical equipment. These data were collected for statistical purposes in analyzing the results of the experimental program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Routine disclosure of the records maintained in the system was made to an organization under contract with the Health Care Financing Administration for the performance of the research and statistical functions as prescribed by the contract. The data collected was utilized by the Contractor for statistical purposes in determining the results of the experimental program. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. (3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic computer tape.

Retrievability:

All records are indexed by health insurance claim number and by Medicare carrier code number.

Safeguards:

Magnetic computer tapes are kept in GSA approved containers with combination locks. The containers are located in a controlled access area where all nonemployees and nonauthorized personnel must identify themselves, state the nature of their business, and be logged in before gaining entry. All personnel are subject to the penalties prescribed by the Privacy Act for unauthorized disclosure of personnel data. These safeguards are in accordance with Departmental standards limiting access to authorized personnel only.

Retention and disposal:

All raw data, draft reports, correspondence, and reports generated during this experiment (including tapes, computer programs, position indices, etc.) are the property of the Government.

System manager(s) and address:

Director, Office of Research, Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue SW., Washington, D.C. 20201.

Notification procedure:

For purposes of notification, provide the Systems Manager with the name, address, and Health Insurance Account Number of the person requesting access.

Record access procedures:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Departmental Regulations (45 CFR Part 5b.5(a)(2)).

Contesting record procedures:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Departmental Regulations (45 CFR Part 5b.7)).

Record source categories:

Requests from Medicare Part B Beneficiaries for reimbursement for the rental/purchase of durable medical equipment under title XVIII of the Social Security Act, including charges and descriptive material from suppliers of durable medical equipment; administrative and billing information for the reimbursement of durable medical equipment from Part B Medicare Carriers.

Systems exempted from certain provisions of the act:

None.

09-70-0005

System name:

Medicare Bill File (Statistics) HHS, HCFA, ORDS.

Security classification: None.

System location: Office of Systems Operations, OS, SSA, 6401 Security Boulevard, Baltimore, Maryland 21235.

Categories of individuals covered by the system: Persons enrolled in hospital insurance or supplemental medical benefits parts of the Medicare program.

Categories of records in the system:

Bill data; demographic data on the beneficary, diagnosis and surgery codes on a sampling of the population; provider characteristics.

Authority for maintenance of the system: Section 1875 of the Social Security Act (42 USC Sec. 1395ll).

Purpose(s):

To study the operation and effectiveness of the Medicare program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure may be made to a congressional office from the record of an individual in rsponse to an inquiry from the congressional office made at the request of that individual.

(2) To the Bureau of Census for use in processing research and statisical data directly related to the administration of Social Security programs.

(3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(4) To an individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA.

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored on magnetic tape.

Retrievability: All records are indexed by health insurance claim number and by hospital provider number.

Safeguards: For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records are maintained with identifiers as long as needed for program research.

System manager(s) and address: Director, Office of Research Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, SW., Washington, D.C. 20201.

Notification procedure: For purpose of access, write the systems manager, who will require name of system, health insurance claim number and for verification purposes, name (women's maiden name, if applicable), social security number, address, date of birth and sex; and to ascertain whether the individual's records is in the system, utilization and date of utilization under Part A or Part B of Medicare services, home health agency, hospital (inpatient), hospital (outpatient) or skilled nursing facility.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with the Department Regulations (45 CFR, Section 5b.5(a)(2).)

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Medicare enrollment records: Medicare bill records; Medicare provider records for a sample of persons treated as hospital patients (inpatient and outpatient) and skilled nursing facility patients.

Systems exempted from certain provisions of the act: None.

09-70-0006

System name: Medicare Enrollment Records (Statistics) HHS, HCFA, ORDS.

Security classification: None.

System location: Office of Systems Operations, OS, SSA, 6401 Security Boulevard, Baltimore, Maryland 21235.

Categories of individuals covered by the system: All persons enrolled for hospital or supplemental medical benefits under the Medicare program, including enrollees for whom the State has paid the premiums and enrollees who are members of direct dealing group practice prepayment plans.

Categories of records in the system: Enrollment characteristics of the beneficiaries: demographic characteristics

Authority for maintenance of the system: Section 1875 of the Social Security Act (42 USC Sec. 1395ll).

Purpose(s):

To study the characteristics of persons enrolled in the Medicare program and establish the basis for Medicare services utilization rates.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure maybe made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) To the Bureau of Census for use in processing research and statistical data directly related to the administration of Social Security programs.

(3) To an individual or organization for a research, evaluation or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) there is reasonable probability that the objective for the use would be accomplished;

c. requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA,

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(4) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored on magnetic tape.

Retrievability: All records are accessible by claim number. Subfiles are indexed also by group practice pre-payment plan number or by State buy-in number.

Safeguards: For computerized records, safeguards established in accordance with guidelines in the DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained with identifiers as long as needed for program research analysis.

System manager(s) and address: Director, Office of Research, Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, SW., Washington, D.C. 20201.

Notification procedure: For purposes of access, write to the systems manager, who will require name of system, health insurance claim number, social security number, and for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, enrollment in Medicare health or supplemental medical participation in a direct dealing group practice prepayment plan, or payment of premium by State.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Sections 5b.5(a)(2).))

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7).)

Record source categories: Master beneficiary record: Medicare enrollment records.

Systems exempted from certain provisions of the act: None.

09-70-0007

System name: Health Insurance Enrollment Statistics, General Enrollment Period, HHS, HCFA, ORDS.

Security classification: None.

System location: Office of Systems Operations, OS, SSA, 6401 Security Boulevard, Baltimore, Maryland 21235.

Categories of individuals covered by the system: All persons who are eligible for Supplementary Medical Insurance coverage but have declined such coverage.

Categories of records in the system: Limited demographic data (sex, date of birth, State and county of residence).

Authority for maintenance of the system: Section 1875 of Title XVIII of the Social Security Act (42 USC Sec. 1395ll).

Purpose(s):

To contact persons eligible for Part B benefits who have refused or withdrawn coverage of these benefits, for purposes of reenrollment for Part B coverage and to evaluate results of such contacts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored on magnetic tape.

Retrievability: All records are indexed by health insurance claim number.

Safeguards: For computerized records, safeguards established in accordance with guidelines in DHHS ADP Systems Manual, Part 6, "ADP Systems Security." (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Tapes are retained with identifiers as long as needed for program research.

System manager(s) and address: Director, Office of Research, Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: For purposes of access, write to the Systems Manager who will require system name and social security number and for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Health Insurance Master Beneficiary File.

Systems exempted from certain provisions of the act: None.

09-70-0008

System name: Supplementary Medical Sample Bill Summary File of Medicare Utilization (Statistics) HHS, HCFA, ORDS.

Security classification: None.

System location: Office of Systems Operations, OS, SSA 6401 Security Boulevard, Baltimore, Maryland 21235.

Categories of individuals covered by the system: A 5 percent sample of Medicare beneficiaries who have received any supplementary medical (Medicare) services January 1, 1975, or later.

Categories of records in the system: Physician and supplier billing information.

Authority for maintenance of the system: Section 1875 of the Social Security Act (42 USC Sec. 1395ll).

Purpose(s):

To study the effectiveness of the Supplementary Medical Insurance Medicare benefit.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made: (1) to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(3) To an individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) there is reasonable probability that the objective for the use would be accomplished;

c. requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA,

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All records are stored on magnetic tape.

Retrievability:

All records are indexed by claim number.

Safeguards:

For computerized records, safeguards are established in accordance with guidelines in DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal:

Records are retained with identifiers as long as needed for purposes of program research.

System manager(s) and address:

Director, Office of Research Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure:

For purposes of access, write the systems manager, who will require name of system, health insurance claim number and for verification purposes, name (woman's maiden name, if applicable), social security number, address, date of birth and sex; and to ascertain whether the individual's record is in the system, date (month and year) on which supplementary medical services were received.

Record access procedures:

Same as notification procedures, Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with the Department Regulations (45 CFR, Section 5b.5(a)(2).)

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories:

Medicare claims submitted to carriers.

Systems exempted from certain provisions of the act: None.

09-70-0010

System name:

Current Medicare Survey (Statistics) HHS, HCFA, ORDS.

Security classification:

None.

System location:

Office of Systems Operations, OS, SSA, 6401 Security Boulevard, Baltimore, Maryland 21235.

Office of Research, ORDS, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

Wilkes Barre Punching Branch, Social Security Administration, VA Building, 19 N. Main Street, Wilkes Barre, Pennsylvania 18701.

Bureau of Census, Washington, D.C.
Federal Records Centers.

Categories of individuals covered by the system:

Sample of aged (since 1966) and disability (since 1971) beneficiaries entitled to Medicare, and interview status.

Categories of records in the system:

Demographic characteristics; health services (types and costs) used by Medicare beneficiaries, and interview status.

Authority for maintenance of the system:

Section 1875 of the Social Security Act. (42 UCS Sec. 1395ll).

Purpose(s):

To determine the use of health care services by Medicare beneficiaries, for program planning, and publication of nationally distributed reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosures from this system are made: (1) to the Bureau of the Census when it performs as a collecting agent or data processor for research and statistical purposes directly relating to the Social Security Act. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable

that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All records are stored on magnetic tape and disk files. Hard copies of the interview forms through 1973 are on microfilm. For subsequent years, hard copies of the interview forms are stored at Federal Records Centers. Interview status check-in cards for 1975–77 and tape disk files are also stored there. Magnetic tapes are in secured storage at SSA. Check-in cards and microfilms are in secured file cabinets at HCFA.

Retrievability: All interview records are identified by health insurance claim number.

Safeguards: Initial collection and processing performed by the Census Bureau. For computerized records safeguards are established in accordance with guidelines in DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Through 1974, hard copy was routinely destroyed six months after the record was placed on microfilm. Starting with 1975, hard copy will be retained for 3 years, and upon receipt of the fourth year data, the earliest year will be destroyed. Computer and card records and interview status check-in cards and tapes are maintained with identifiers as long as needed for purposes of program research. All records are reviewed annually for continued program need.

System manager(s) and address: Director, Office of Research, Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: For purposes of access, write the systems manager who will require name of system, health insurance claim number and for verification purposes name (woman's maiden name, if applicable), social security number, address, date of birth and sex, and to ascertain whether the individual's record is in the system, type of social security benefit (old age or disability) received.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Medicare beneficiary records; survey type data collected by Census Bureau for the Social Security Administration.

Systems exempted from certain provisions of the act: None.

09–70–0011

System name: Evaluation of the Impact of Surgical Screening Based Upon Union Member Utilization of the Pre-Surgical Consultant Benefit (Statistics) HHS, HCFA, ORDS.

Security classification: None.

System location: Cornell University Medical College, 1300 York Avenue, New York, New York 10021.

Categories of individuals covered by the system: Sample of those members of five unions in the Greater New York and Northern New Jersey who have used the pre-surgical consultation benefit in their union health contract.

Categories of records in the system: Demographic characteristics, medical diagnosis and surgical procedures, physician sociological characteristics, health insurance coverage, health status.

Authority for maintenance of the system: Section 1875 of the Social Security Act. (42 USC Sec. 1395ll).

Purpose(s):

To determine the effect of providing for pre-surgical consultations and the effect of those consultations on decisions to undergo surgery.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Disclosures from this system are made to contractors for research and statistical activities directed by the Health Care Financing Administration. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files.

Retrievability: Records filed in alphabetical order.

Safeguards: Safeguards are provided by contract, identifiable data are accessible only to the contractor and members of his staff.

Retention and disposal: Records will be retained with identifiers by the contractors only as long as is needed for purposes of program research and then destroyed.

System manager(s) and address: Director, Office of Research, Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, DC 20201.

Notification procedure: For purposes of access, write the Systems Manager who will require name of system, health insurance claim number, and, for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, the name of the union of which he or she is a member.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2).)

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Union records retained by each union in the survey area.

Systems exempted from certain provisions of the act: None.

09–70–0013

System name: Annual 5 percent Summary File of Services Reimbursed Under the Medicare Program (Statistics) HHS, HCFA, ORDS.

Security classification: None.

System location:

Office of Systems Operations, OS, SSA 3401 Security Boulevard, Baltimore, Maryland 21235.

Categories of individuals covered by the system: Sample of Medicare enrollees with reimbursement services prior to January 1, 1975.

Categories of records in the system: Demographic characteristics; amount of reimbursement by type of service.

Authority for maintenance of the system: Section 1875 of the Social Security Act. (42 USC Sec. 1395ll.)

Purpose(s):

To study the characteristics of persons receiving Medicare reimbursed services and the types of services they received.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Disclosure may be made to a congressional office from the record of and individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored on magnetic tape.

Retrievability: All records are indexed by claim number.

Safeguards: For computerized records, safeguards are established in accordance with guidelines in DHHS ADP Systems Manual Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Records are retained with indentifiers as long as needed for purposes of program research.

System manager(s) and address: Director, Office of Research Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: For purposes of access, write the systems manager who will require name of system, health insurance claim number, and for verification purposes, name (woman's maiden name if applicable), address, social security number, date of birth and sex, and to ascertain whether the individual's record is in the system, whether any reimbursable services prior to 1974 and the date (month and year) of such services.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(3).)

Contesting record procedures: Contact the offical at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Medicare enrollment records; Medicare bill records.

Systems exempted from certain provisions of the act: None.

09–70–0014

System name:

Survey of Physicians', Administrative and Practice Costs and Medicaid Participation HHS, HCFA, ORDS.

Security classification:

None.

System location:

Abt Associates, 55 Wheeler Street, Cambridge, Mass. 02138.

Categories of individuals covered by the system:

A national and regional sample of 2000 office-based physicians.

Categories of records in the system:

Education, professional background, age, and demographic information about physicians, to be merged with administrative and practice cost data, practice characteristics in terms of specialty, type, size, etc., and participation in Medicaid.

Authority for maintenance of the system:

Section 1875 of the Social Security Act, and section 222(a) of the Social Security Act Amendments of 1972, Pub. L. 92–603. (42 U.S.C. Sec. 1395ll, 1395f(note)).

Purpose(s):

To analyze practice costs, incomes and program participation according to physician characteristics.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. A congressional office from the record of an individual in response to an inquiry from the congressional office at the request of that individual.

2. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: American Medical Association background information will be maintained on a master sheet, and individually in each interview folder. Interview information was maintained on questionnaires prior to conversion to magnetic tape. Resulting tapes contain no personal identifiers.

Retrievability:

Until each interview was completed and verified, the contractor maintained questionnaires and background information in folders labeled with the physician's name. Because the information has been removed from the folders, there can be no retrieval of individual records.

Safeguards:

All identifiers were removed from data as soon as the collection and matching was complete and verified. All persons having access to records were notified of criminal sanctions for unauthorized disclosure of information about individuals. Since the tapes will contain no personal identifiers, no special safeguards are required.

Retention and disposal:

Master sheets will be retained indefinitely, folder identification links have been destroyed. Tapes witnout personal identifiers will be maintained indefinitely.

System manager(s) and address:

Director, Office of Research Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure:

To access AMA background master sheets, name and address are required by the system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with the Department Regulations (45 CFR, Section 5b.5(a)(2).))

Contesting record procedures:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Responses from 1000 physicians nationwide and 1000 physicians in two Census regions, both for a single time use, background information from the American Medical Association Directory of Physicians.

Systems exempted from certain provisions of the act:

None.

09–70–0015

System name: Ambulatory Surgery Research Project HHS, HCFA, ORDS.

Security classification: None.

System location: The Orkand Corporation, 8630 Fenton Street, Silver Spring, Md. 20910.

The Orkand Corporation, OA420, 5131 North Fortieth Street, Phoenix, Arizona 82018.

Categories of individuals covered by the system: Patients in selected ambulatory and hospital surgical facilities, and selected physicians.

Categories of records in the system: Patient interview questionnaires containing demographic, financial, medical, and family information physician questionnaires with demographic and financial information.

Authority for maintenance of the system: Section 402 of the Social Security Amendments of 1967, P.L. 90–248, as amended by Section 222(b) of the Social Security Amendments of 1972, P.L. 92–603, 42 U.S.C. 1395b–1.

Purpose(s):

To determine the effect on program costs and quality of care of ambulatory surgical services.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To contractor under contract with the Health Care Financing Administration to perform research and statistical activities related to this study.

Record access procedures:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department regulations (45 CFR, Section 5b.b(a)(2)).)

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information

to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hard copy questionnaires, hard copy patient identification forms, punched card decks and magnetic tapes at contractors' locations. Magnetic tapes in non-individually identifiable form in the Social Security Administration.

Retrievability: By name, indexed to case number. At completion of the study, patient identification index will be destroyed and retrieval of individual information will no longer be possible.

Safeguards: All records containing personal identifiers will be processed and handled at contractor's location. This installation has Department of Defense approval at SECRET CLEARANCE level, and has on-site security personnel 24 hours a day at primary location. The patient identifier forms will be retained in a safe at that site until they are destroyed at completion of the study.

Retention and disposal: Records will be retained only as long as required for records management purposes. All patient identification will be destroyed at the conclusion of the study. Magnetic tapes in non-individually identifiable form will be retained indefinitely.

System manager(s) and address: Health Care Financing Administration, Director, Office of Research, Demonstrations and Statistics, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: For purposes of notification and access, name of system and name of individual; for purposes of verification, address, sex, and date of birth. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6).)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Patient and physician interview forms; patient medical records.

Systems exempted from certain provisions of the act: None.

09–70–0017

System name: Health Insurance Benefit and Actuarial Sample Control System, HHS, HCFA, ORDS.

Security classification: None.

System location: Office of Research, Demonstrations and Statistics, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: A sample of persons who have received Medicare benefits.

Categories of records in the system: Record contains a limited number of fields from bill files.

Authority for maintenance of the system: Section 1875 of the Social Security Act. (42 USC Sec. 1395ll).

Purpose(s):

To project program costs for the Federal budget exercises and the Trustees report; compute adjusted average per capita costs; estimate cost impact of proposed legislation and regulations; special analyses of specific aspects of historical or anticipated experience under the program; and to determine Medicare program financing needs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data are stored on magnetic tape.

Retrievability:

Individual records are identified by claim account number. Data are used for statistical purposes.

Safeguards:

All magnetic tapes are retained in secure areas accessible only to authorized persons within the Office of Research, Demonstrations and Statistics. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal:

Data are prepared monthly and magnetic tapes are returned to blank stock.

System manager(s) and address:

Health Care Financing Administration, Director, Office of Research, Demonstrations and Statistics, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure:

For purposes of access the claim account number is required; write to the systems manager.

Record access procedures: Same as notification procedures. Requests should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories:

Health Insurance Master File.

Systems exempted from certain provisions of the act:

None.

09–70–0018

System name:

Actuarial Health, Insurance and Supplementary Medical Insurance (Medicare) HHS, HCFA, ORDS.

Security classification:

None.

System location:

Health Care Financing Administration, Director, Office of Financial and Actuarial Analysis, ORDS, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system:

A 0.1 sample of persons who have received Medicare benefits.

Categories of records in the system:

Health Insurance inpatient hospital and extended care admission and other health services; inpatient admission and billing—Christian Science Sanatorium; home health agency report and billing; and other documents used to support payments to providers of service. These forms contain the beneficiary's name, sex, health insurance claim number, date of admission and discharge, other health insurance data and a statement of services rendered. Supplemental medical insurance request for payment; provider billing for patient services by physician; prepayment plan for group Medicare practices dealing through a carrier, itemized bills and other similar documents required to support payments to physicians and other suppliers of Part B Medicare services.

Authority for maintenance of the system: Section 1875 of the Social Security Act, 42 U.S.C. 1395ll.

Purpose(s):

To project program costs for the Federal budget exercises and the Trustees report; compute adjusted average per capita costs; estimate cost impact of proposed legislation and regulations; special analyses of specific aspects of historical or anticipated experience under the program; and to determine Medicare program financing needs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Disclosure may be

made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Forms are kept in manila folders in the Office of Financial and Actuarial Analysis, Office of Research, Demonstrations and Statistics.

Retrievability: The manila folders containing forms are filed in claim account number sequence.

Safeguards: The filing system is retained behind closed doors and is accessible only to authorized persons. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: The claims folder is maintained in file until the death of the individual. Once a year the file is purged and inactive folders are stored in the Federal Record Center. No provisions have been made to destroy inactive folders.

System manager(s) and address: Health Care Financing Administration, Director, Office of Research, Demonstrations and Statistics, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: For purposes of access the claim account number is required; write to the systems manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (The access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).))

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: The identifying information contained in these records is obtained by the provider from the individual; the medical information is entered by the provider of medical services.

Systems exempted from certain provisions of the act: None.

09–70–0019

System name: Actuarial Sample Hospital Stay Record Study HHS, HCFA, ORDS.

Security classification: None.

System location: Office of Statistics and Data Management, ORDS, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: A 0.1 sample of persons who have received hospital insurance benefits.

Categories of records in the system: Information is obtained from inpatient hospital and extended care admission, and inpatient admission and billing forms.

Authority for maintenance of the system: Section 1875 of the Social Security Act. (42 U.S.C. 1395ll)

Purpose(s):

To project program costs for the Federal budget exercises and the Trustees report; compute adjusted average per capita costs; estimate cost impact of proposed legislation and regulations; special analyses of specific aspects of historical or anticipated experience under the program; and to determine Medicare program financing needs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data are stored on magnetic tape.

Retrievability: The file is indexed with claim account numbers; the data are used for statistical purposes.

Safeguards: All mag-tape files are retained in secure storage areas—accessible only to authorized persons. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: The file is updated quarterly and the old tape goes to blank stock.

System manager(s) and address: Health Care Financing Administration, Director, Office of Research, Demonstrations and Statistics, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: For purposes of access the claim account number is required; write to systems manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Sections 5b.7).)

Record source categories: The identifying information contained in these records is obtained by the provider from the individual; the medical information is entered by the provider of medical services.

Systems exempted from certain provisions of the act: None.

09–70–0020

System name: Actuarial Sample of Supplementary Medical Insurance Payments HHS, HCFA, ORDS.

Security classification: None.

System location: Office of Statistics and Data Management, ORDS, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: A sample of records for persons who have received benefits under the supplemental medical insurance provisions of the Medicare program.

Categories of records in the system: The record contains only the information included in a payment record.

Authority for maintenance of the system: Section 1875 of the Social Security Act (42 USC Sec. 1395ll).

Purpose(s):

To project program costs for the Federal budget exercises and the Trustees report; compute adjusted average per capita costs; estimate cost impact of proposed legislation and regulations; special analyses of specific aspects of historical or anticipated experience under the program; and to determine Medicare program financing needs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data are stored on magnetic tape.

Retrievability: The file is indexed with claim account number, these data are used for statistical purposes.

Safeguards: All magnetic tapes are retained in secure storage areas accessible only to authorized persons. All employees having access to

records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: This file is updated on a quarterly basis. The tape files are returned to blank stock after three years.

System manager(s) and address: Health Care Financing Administration, Director, Office of Research, Demonstrations and Statistics, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201

Notification procedure: For purposes of access the claim account number is required; write to the systems manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Supplemental medical insurance payment record.

Systems exempted from certain provisions of the act: None.

09–70–0021

System name: Health Maintenance Organization Prospective Reimbursement Demonstrations, HHS/HCFA/ORDS.

Security classification: None.

System location: Health Care Financing, Administration, Office of Demonstrations and Evaluations, ORDS, Room 2426, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: Medicare beneficiaries institutionalized in counties encompassed by the demonstrations. The locations are as follows: Massachusetts—Worcester and Suffolk counties; Michigan—Ingham, Easton, and Clinton counties; Minnesota—Anoka, Carver, Dakota, Hennepin, Ramsey, Scott, and Washington counties; Oregon—Clackamus, Multnomah, and Washington counties; Washington—Clark, Jefferson, Kitsap, and Mason counties; and Wisconsin—Clark, Marathon, Tylor, and Wood counties.

Categories of records in the system: Names and social security numbers of institutionalized Medicare beneficiaries.

Authority for maintenance of the system: Section 402(a) of the 1967 amendments to the Social Security Act, as amended by section 222(b)(1) of the 1972 amendments to the Social Security Act, Pub. L. 92–603.

Purpose(s):

To provide data necessary to calculate adjusted average per capita costs for Medicare beneficiaries enrolled in HMOs. HCFA will use these data along with other information to determine if HCFA can predict accurate rates for reimbursing HMOs in such a way as to ensure sufficient revenues for the HMOs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) HCFA may make disclosures to contractors for research and statistical activities under HCFA's direction.

(2) HCFA may make disclosures to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual.

(3) In event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records where collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: HCFA and the contractor will store hard copy records in locked metal file cabinets. HCFA will maintain data transferred to computer tapes in secure storage areas in the HCFA tape library. The contractor will forward all hardcopy data to HCFA and will not maintain any records once data are transferred to HCFA.

Retrievability: HCFA will retrieve the data by beneficiary name and social security number. HCFA will use the data to calculate the adjusted average per capita cost (AAPCC) for Health Maintenance Organizations participating in the demonstrations.

Safeguards: HCFA will maintain all records in secure storage areas accessible only to authorized HCFA employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. HCFA will store hardcopy and tapes in secure storage areas until December 31, 1985.

For computerized records, where appropriate, HCFA will initiate ADP systems security procedures with reference to guidelines contained in DHHS ADP Systems Manual, Part 6, ADP Systems Security; and the National Bureau of Standards Federal Information Processing Standards Publications.

Retention and disposal: HCFA will retain hardcopy data collection forms and magnetic data tapes with identifiers in secure storage areas. HCFA will use the disposal technique of degaussing to strip magenetic tape of all identifying names and numbers in December 1985. HCFA will destroy hardcopy at that time.

System manager(s) and address: Director, Office of Research, Demonstrations and Statistics, HCFA, Room 4228, HHS Building, 330 Independence Avenue S.W., Washington, D.C. 20201.

Notification procedure: Any Medicare beneficiary who participates in this demonstration may request his or her data record in writing. Individuals should address inquires and requests concerning system records to the system manager named above.

Record access procedures: Same as notification procedure. Requestor should specify the record contents being sought. These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).

Record source categories:

Institutions located in the geographic areas encompassed by the demonstrations, including nursing homes, sanitariums, rest homes, convalescent homes, and long term care hospitals.

Systems exempted from certain provisions of the act: None.

09–70–0022

System name:

Municipal Health Services Program, HHS/HCFA/ORDS.

Security classification: None.

System location:

Health Care Financing Administration (primary location), Bureau of Support Services, Office of Direct Reimbursement, Health Services Studies Division, 6325 Security Boulevard, Baltimore, Maryland 21207, and

University of Chicago, Center for Health Administration Studies, 5720 Woodlawn Drive, Chicago, Illinois 60637.

Categories of individuals covered by the system:

Medicare and Medicaid beneficiaries who obtain health care services at any of the 20 clinics being funded by the Robert Wood Johnson Foundation under the Municipal Health Services Program (MHSP).

Categories of records in the system:

Bills submitted by MHSP clinics to claim Federal reimbursement for services provided to Medicare and Medicaid beneficiaries.

Authority for maintenance of the system:

Section 402(a) of the Social Security Amendments of 1967, as amended by section 222(b)(1) of Public Law 92–603.

Purpose(s):

To provide billing data necessary to permit reimbursement and evaluation of the clinics participating in the MHSP.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) The University of Chicago, Center for Health Administration Studies (CHAS), will use the data to evaluate the impact of the MHSP on health care costs and utilization.

(2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

(3) In event of litigation where the defendent is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of

its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The Division of Health Services Studies (DHHS) and CHAS will store data of hardcopy billing forms and machine readable media in storage area.

Retrievability:

DHSS and CHAS retrieve the data by beneficiary name, date of service, and clinic name, DHSS will use the data to determine the appropriate level of reimbursement to be made to MHSP clinics.

Safeguards:

DHSS and CHAS will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals, DHSS will store hardcopy in file cabinets in a locked office. For computerized records, where appropriate. HCFA will initiate ADP systems security procedures with reference to the guidelines contained in the DHHS ADP Systems Manual, Part 6, ADP System Security (e.g., DHSS will store machine readable media in locked cabinets in a locked room accessible only to authorized personnel).

Retention and disposal:

DHSS and CHAS will retain hardcopy bills and machine readable media tapes with identifiers in secure storage areas. HCFA waivers permitting reimbursement to MHSP clinics will be effective through 1984: therefore HCFA will retain all hardcopy and magnetic tape of disc data until December 1985. At that time, HCFA will destroy all hardcopy and strip all machine readable media of all identifying names and numbers by degaussing.

System manager(s) and address:

Director, Office of Research, Demonstrations and Statistics, HCFA, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure:

Individuals should address inquiries and requests concerning system records to the system manager, named above, specifying name, date of service, and clinic.

Record access procedures:

Any beneficiary who participates in the MHSP may request his or her data record in writing. Access procedure is the same as notification procedure. Requestor should also reasonably specify the record contents being sought. These procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).

Contesting record procedures:

Contact the official at the address specified under notification procedure above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7)).

Record source categories:

The information contained in this record system originates at MHSP clinics, specified in Appendix A to this notice, whenever a Medicare or Medicaid beneficiary obtains clinic services. Clinics in four of the cities, specified in Appendix B to this notice, will store hardcopies or machine readable media copies of the bills in their city health departments.

Systems exempted from certain provisions of the act:

None.

Appendix A—Participating Centers and Clinics

Contact the System Manager for further information about potential sites (*), clinics or center not yet built (**), and those that are to be moved.

Baltimore:
Bank Street Health Center, 3411 Bank Street, Baltimore, Maryland

Belair—Edison—Gardenville Health Center*

Hollander Ridge Health Center, Hollander Ridge Avenue, Baltimore, Maryland

North of the Park Health Center* O'Donnell Heights Health Center**

St. Louis:
Courtney Health Center, 1717 Biddle Street, St. Louis, Missouri

13th and Wyoming Health Center, 3200 South 13th Street, St. Louis, Missouri

South Grand Health Center, 1501 South Grand Avenue, St. Louis, Missouri (will be moved), Walnut Park Health Center*

Milwaukee:
Johnston Health Center, 1230 West Grant Street, Milwaukee, Wisconsin

Downtown Medical and Health Services, 2340 West Wisconsin Avenue, Milwaukee, Wisconsin, Karambee Health Center*, Sinai Clinic* *

Cincinnati:
Winston Hills Medical and Health Center, 5275 Winneste Avenue, Cincinnati, Ohio 45232

Avondale Clinic (Catherine Booth will be moved), 3595 Washington Avenue, Cincinnati, Ohio 45229

Braxton-Cann Memorial Medical Clinic, 5919 Madison Road, Cincinnati, Ohio 45227

San Jose:
Gardener Community Health Center, Inc., 325 Willow Street, San Jose, California 95110

Franklin-McKinley Health Center, Clayton Road, San Jose, California

Downtown Clinic (site not selected), Family Health Foundation of Alviso Adolescent Center (satellite to Franklin-McKinley)* *

Appendix B—City Health Departments Where Records Will Be Stored

Baltimore City Department of Health, 111 N. Calvert Street, Baltimore, Maryland 21202

Cincinnati Department of Health, 3101 Burnet Avenue, Cincinnati, Ohio 45229

Milwaukee Department of Health, 841 N. Broadway, Milwaukee, Wisconsin 53202

St. Louis Department of Health and Hospitals, 1625 S. 14th Street, St. Louis, Missouri 63104

09-70-0023

System name: Evaluation of Home Dialysis Aide Demonstration, HHS/HCFA/ORDS

Security classification: None.

System location: The Orkand Corporation, 8630 Fenton Street, Suite 938, Silver Spring, Maryland 20910.

Categories of individuals covered by the system: 1. Chronically ill Medicare beneficiaries with end-stage renal disease (ESRD) who dialyze at home, with or without a dialysis aide, or who dialyze in a facility as an outpatient; who receive dialysis services from participating experimental facilities; and who have signed the informed consent form for the demonstration and evaluation. (Note: For purposes of

the demonstrations and the evaluation, dialysis aides have been defined as: Partner—a paid or non-paid family member Assistant—a paid or non-paid, non-family member; Aide—generic term for either of the above.) The Health Care Financing Administration (HCFA) will permit payment for certain dialysis services (aide service and/or equipment) provided to these individuals and their aides which are not now covered under Medicare. These patients will be called "experimental patients" in this Notice.

2. Chronically ill Medicare beneficiares with end-stage renal disease who dialyze at home, with or without an aide, or who dialyze in a facility as an outpatient; who receive dialysis services from participating control facilities; and who have signed the informed consent form for the evaluation. These patients will be called "control patients" in this Notice.

Categories of records in the system: 1. Patient questionnaires administered to approximately 1,500 patients, both home and in-facility, at both experimental and control facilities. These questionnaires will provide sociodemographic information on each patient; patient dialysis history and experience; out-of-pocket expenses incurred; and patient attitudes towards dialysis, training, aides, location of dialysis and a comparison of home to facility dialysis. Questionnaires will show patient and health insurance claim number (HI claim number).

2. Aide questionnaires will show name and identify the aide's sociodemographic characteristics and employment experience as a dialysis aide and in other jobs. The questionnaire focuses on job attitudes, satisfaction with home training, responsibilities involved, facility support activities, and the job itself.

3. Aide record abstracts will identify aides by name and provide sociodemographic characteristics, occupational background, home training experience, employment history, amount of time spent in assisting patients with dialysis, and number of patients served.

4. Training records will identify patients by name and HI claim number and aides by name. Data will be provided on length of training, testing frequency and results, and retraining needed.

5. Medical records for both home and in-facility patients selected will identify patients by name and HI claim number. Data will be provided on adverse dialysis events, monitoring and support services received, underlying diagnosis of renal disease, type of treatment received, and cause of death, if applicable.

6. Patient billing records will identify patients by name and HI claim number and will provide information on charges for specific dialysis services to Medicare, Medicaid, third party payors, and to the patient. Information will also be provided on payments made by various payors, amounts disallowed by Medicare, and amount not paid.

7. Demonstration contractor data will also be entered into the system and identify patient by name and HI claim number. Demographic information will be provided and a breakdown of dialysis sessions recorded, type of aide, type of treatment, location of dialysis, and date of transplant, transfer, or death.

8. Information on patients will also be obtained from the supplemental Medicare billing forms. This data will be linked to other sources of data through a patient's HI claim number. Information to be provided includes patient history and treatment plan (HCFA 2742), outpatient dialysis service information (HCFA 2743), and death notification (HCFA-2746).

9. Master magnetic tape file containing all utilization, quality, attitude, and cost data included in the other system records listed above.

10. HCFA will obtain written informed consent of every individual from whom information is solicited or whose records are abstracted for purposes of the demonstration and evaluation.

Authority for maintenance of the system: Section 402 of the Social Security Amendments of 1967, Public Law 90-248, as amended by Section 222(b) of the Social Security Amendments of 1972, Pub. L. 92-603, and Pub. L 95-292.

Purpose(s):

To provide utilization, attitude, cost, and quality data necessary to evaluate the dialysis care received by patients who dialyze at home, with or without an aide, or in-facility, and who are served by selected facilities participating in three demonstration projects sponsored by HCFA. The participating experimental facilities are identified in Appendix A and the participating control facilities are identified in Appendix B.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. The independent evaluator will receive all information in the system from patient questionaries, aide questionnaries, patient records, aide records, facility records, demonstration contractor records, intermediaries, and selected HCFA files either in hard copy, magnetic tape, or cards and store it in a master file. The independent evaluator will use this information to evaluate the cost, quality, attitudes, and utilization of dialysis care provided to home and in-facility patients in both the experimental and control facilities participating in the Home Dialysis Aide demonstrations. Once patient questionnaire information is linked to patient billing and medical records, all personal identifiers will be removed from the file.

2. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The independent evaluator will store records in hard copy and magnetic tape form.

Retrievability: Records are indexed by HI claim number or other unique identifier.

Safeguards: The independent evaluator will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. Authorized HCFA representatives will upon request, be granted access to premises where records are kept for the purpose of inspecting physical security arrangements. However, no data will be released with identifying information. For computerized records, the independent evaluator will initiate automated data processing (ADP) system security procedures required by the DHHS ADP Systems Manual, Part 6, ADP Systems Security, e.g. use of passwords.

Retention and disposal: The independent evaluator will hold hard-copy records, magnetic types, and cards until patient and aide-specific data are received and compiled. All identifying information and hard-copy will then be destroyed, thus protecting the confidentiality of all information collected. The Orkand Corporation will retain all records for the life of the evaluation (September 30, 1982) and then these records will become the custody of the Office of Research, Demonstrations and Statistics, HCFA. The independent evaluator will not retain any patient-based files. Data supplied to HCFA will not include patient identifiers. No data which would possibly identify an individual will be supplied.

System manager(s) and address: Director, Office of Research, Demonstrations, and Statistics, Health Care Financing Administration, Room 4228 HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: Individuals should address inquiries and requests concerning system records to the system manager indicated above, specifying name, approximate date of service (if known), and ESRD facility. An individual who requests notification or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. These notification and access procedures are in accordance with Department Regulations (45 CFR 5b).

Record access procedures: Individuals participating in the demonstrations and the evaluation may request their data records in writing. Access procedure is the same as the notification procedure. Requestor should reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b).)

Contesting record procedures: An individual who wishes to contest the contents of any record in this system should contact the system manager and reasonably identify and specify the information to be contested and reason for contesting, why it is inaccurate or incomplete. (These procedures are in accordance with Department Regulations (45 CFR 5b).)

Record source categories: Sources of information contained in this record system include individual patients and dialysis aides, participating experimental and control facilities, demonstration contractors, cooperating intermediaries, and selected HCFA files.

Systems exempted from certain provisions of the act: None.

Appendix A

I. University of Utah—Experimental Facilities:

1. American Medical Supply, Inc. Denver, CO.
2. Bio-Medical Applications of Fort Collins, Fort Collins, CO.
3. Ogden Limited Care Dialysis Center, Ogden, UT.
4. Pike's Peak Dialysis Center, Colorado Springs, CO.
5. Maintenance Hemodialysis Unit, Presbyterian Medical Center, Denver, CO.
6. Rocky Mountain Kidney Center, Denver, CO.

7. St. Mary Corwin Hospital Hemodialysis Unit, Pueblo, CO.
8. Hemodialysis Unit, St. Mary's Hospital, Grand Junction, CO.
9. Home Training Center, University of Colorado Medical Center, Denver, CO.
10. Dialysis Training Center, University of Utah, Salt Lake City, UT.
11. Utah Dialysis Training Center, University of Utah, Salt Lake City, UT.

II. System Sciences, Inc.—Experimental Facilities:

1. Baumritter Kidney Center, Bronx, NY.
2. Downstate Dialysis Center, Brooklyn, NY.
3. El Camino Hospital, Mountain View, CA.
4. Kidney Care, Inc, Jackson MS.
5. Kidney Care of Florida. Inc, Tampa, FL.
6. Regional Kidney Disease Program, Minneapolis, MN.
7. St. Joseph's Hospital Hemodialysis Center, Orange, CA.
8. The Kidney Center, Boston, MA.

III. Research Triangle Institute—Experimental Facilities:

1. A. J. Tannenbaum Medical Associates, Greensboro, NC.
2. Asheville Kidney Center, Asheville, NC.
3. Bowman Gray School of Medicine, Winston Salem, NC.
4. Carolina Clinic, Inc. Dialysis Unit, Winston, NC.
5. Duke University Medical Center, Durham, NC.
6. Greenville Dialysis Center, Greenville, NC.
7. Nalle Clinic Kidney Center, Charlotte, NC.
8. North Carolina Memorial Hospital, Chapel Hill, NC.
9. Southeastern Kidney Center, Wilmington, NC.

Appendix B

I. University of Utah—Control Facilities:

1. Holt-Krock Dialysis Center, Ft. Smith AR.
2. Hemodialysis Unit, Jewish Hospital of St. Louis, St. Louis, MO.
3. Hemodialysis Unit, Baptist Unit, Baptist Medical Center, Oklahoma City, OK.
4. Hemodialysis Unit, Clinton Regional Hospital, Clinton, OK.
5. Sayre Memorial Hospital, Sayre, OK.
6. Renal Department, Hillcrest Medical Center, Tulsa, OK.

II. System Sciences, Inc—Control Facilities:

1. Bio-Medical Applications of Tampa, Tample, FL.
2. Bio-Medical Applications of Dallas, Dallas, TX.
3. Dade Dialysis Center, Miami, FL.
4. Mt. Diablo Medical Center, Concord, CA.
5. North Central Dialysis Center, Chicago, IL.
6. Northwest Kidney Center, Seattle, WA.
7. Rogosin Kidney Center, New York, NY.
8. UCSD Hemodialysis Unit, San Diego, CA.

III. Research Triangle Institute—Control Facilities:

1. Dialysis Clinic, Inc, Nashville, TN.
2. Dialysis Clinic, Inc, Knoxville, TN.
3. Dialysis Clinic, Inc, Chattanooga, TN.
4. Rhea County Hospital, Dayton, TN.
5. Fort Sanders Kidney Center, Inc, Knoxville, TN.
6. Baptist Memorial Hospital, Memphis, TN.
7. East Tennessee Dialysis Center, Johnson City, TN.

09-70-0024

System name: Medicare/Medicaid Hospice Demonstration, HHS/HCFA/ORDS

Security classification: None.

System location: Health Care Financing Administration, Bureau of Support Services, Office of Health Program Systems, Program Support Branch Operations Building, 6401 Security Boulevard, Baltimore, Maryland 21235.

Health Care Financing Administration, Bureau of Support Services, Office of Direct Reimbursement, Division of Health Services Studies 6325 Security Boulevard, Baltimore, Maryland 21207.

Washington National Records Center, Reference Branch, 4205 Suitland Road, Suitland, Maryland 20409.

Brown University, Division of Biology and Medicine, Arnold Lab Building, 97 Waterman Street, Providence, Rhode Island 02912.

Categories of individuals covered by the system: 1. Terminally ill Medicare beneficiaries and their primary care givers (that is, a family member, a friend, or an attendant paid by the patient or family) who receive hospice services from the 26 participating hospices and who have given written informed consent to participate in the demonstration. These patients will be called "patient participants" in this Notice (Requirements for patient participation are listed at the end of this section);

2. Terminally ill Medicaid (Medi-Cal) recipients and their primary care givers who receive hospice services at 24 of the participating hospices under the 14 participating State Medicaid programs, and who have given written informed consent to participate in the demonstration. These patients also will be called "patient participants;"

3. Terminally ill patients and their primary care givers who receive services in the 26 participating hospices, but who are neither Medicare beneficiaries nor Medicaid recipients, or who otherwise do not meet the requirements for participation in the demonstration. Individuals in this category must give a written informed consent in order to be covered by this record system. These patients will be called "nonparticipating patients;"

4. Terminally ill patients and their primary care givers served by selected hospices outside the demonstration, and who have given a written informed consent to be covered by this record system. These individuals will be called "comparison patients" or members of the "patient comparison groups" in this Notice;

5. Terminally ill patients and their primary care givers who receive conventional care from selected hospitals or cancer centers, and who have given a written informed consent to be covered by this record system. These individuals also will be called "comparison patients" or members of the "patient comparison groups" in this Notice.

In order to participate in the demonstration, patients must have: (1) a life expectancy of 6 months or less as certified by a physician, (2) a primary care giver, such as a relative, friend, or paid attendant who is available to provide simple personal care and emotional support on an around-the-clock basis, and (3) entitlement to Hospital Insurance Benefits (Medicare Part A) and Supplementary Medical Insurance Benefits (Medicare Part B) and/or eligibility under Medicaid. The Health Care Financing Administration (HCFA) will "waive," or temporarily not enforce, some provisions of the Medicare and Medicaid laws in order to permit payment for certain hospice services which are not now covered under these two programs. HCFA will reimburse for waivered services provided only to patient participants and their primary care givers (the first two categories above).

Categories of records in the system: 1. Bills for hospice-type services waivered or currently covered by Medicare, which are submitted to HCFA by the 26 participating hospices. Billing and service information will show patient names and health insurance claim numbers (HI claim numbers);

2. Quarterly service utilization reports produced by HCFA from billing records. These reports will show Medicare services, by patient name and HI claim number, for which payment was made under the demonstration;

3. Billing information on hospice-type services waivered or currently covered by Medicaid, which is submitted by the participating hospices to participating Medicaid State Agencies or to HCFA. These records will show patient names and unique numerical identifiers;

4. Billing information on other nonwaivered services received by patient participants, non-participating patients, or comparison patients from the participating hospices, the comparison hospices, and hospitals, or other sources of care. This category of records will include hard copy or magnetic tapes of billing and service data supplied by participating and non-participating Medicaid State Agencies and cooperating private insurors, as well as information extracted from selected Medicare claims and enrollment files that are covered by existing systems notices;

5. Patient/primary care giver profile forms which will show patient name and HI claim number or other unique identifier. These hospice forms will provide information such as the patient's current status and prognosis, the arrary of patient/family needs, and appropriateness of hospice care for these needs. In addition, the profile forms will supply a variety of demographic, financial, and insurance data, including whether or not the patient is receiving Social Security disability benefits;

6. Patient discharge data forms which will show patient name and HI claim number or other unique identifier. These forms will provide information on total days of services received in inpatient and home care settings, reason for discharge, and place of death;

7. Service utilization abstracts which will show patient name and HI claim number or other unique identifier, These records will be updated periodically for all categories of individuals in the system and will document services provided to each patient and primary care giver, time required for each service, and type of professional (or volunteer) providing the services. The abstracts will also document bereavement services to the primary care giver following the patient's death;

8. Survey on the "Impact of Hospice Care on Patient and Family." Survey forms will show patient name and HI claim number or other unique identifier. This survey will be a major source of information for the independent evaluator in determining the quality and acceptability of services provided to terminally ill patients. The questions will focus on the patient's experience of pain and other symptoms, functional and emotional status of the patient, and patient and primary care giver attitudes toward care received;

9. Master demonstration file, indexed by patient name and HI claim number or other unique identifier, containing all billing, service, and evaluation data included in the other system of records listed above.

Authority for maintenance of the system: Section 402 of the Social Security Amendments of 1967, Public Law 90–248, as amended by section 222(b) of the Social Security Amendments of 1972, Public Law 92–603, and section 1115(a) of the Social Security Act, as amended by section 404 of the Social Security Amendments of 1977, Public Law 95–216.

Purpose(s):

The purpose of this system of records is: (1) to provide billing, cost, and service data necessary to reimburse and evaluate the care received by terminally ill Medicare beneficiaries, Medicaid recipients, and their primary care givers from hospice organizations selected to participate in the demonstration; (2) to furnish information necessary to evaluate the services received by other groups of terminally ill patients and their families; (3) to develop national policy recommendations to the Congress; (4) to validate the work of the independent evaluator; (5) to provide national data projections as a basis for actuarial estimates of the cost of the hospice program and the cost of terminal illness in general; and (6) for additional internal analyses.

HCFA may also provide information from the record of an individual to other agencies of the Department of Health and Human Services, such as the Social Security Administraton.

HCFA will obtain the written informed consent of every individual from whom information is solicited or whose records are abstracted for purposes of the demonstration or its evaluation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Brown University will receive all information in the system from billing, service utilization, patient/primary care giver profile and patient/family attitude records, either in hard copy, magnetic tape, or flexible diskette forms, and store it in the master demonstration file, a magnetic tape. The evaluator will use this information to assess the cost, use, quality and acceptability of care provided to terminally ill patients in both the demonstration and comparison groups;

2. HCFA may disclose a record from this system of records as a "routine use" to an individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) there is a reasonable probability that the objective for the use would be accomplished;

c. requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the information recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA,

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

3. HCFA may make disclosures to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual;

4. In event of litigation where the defendant is (a) the Department, any component of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected;

5. HCFA may make disclosures to a participating Medicaid State Agency from the record of a Medicaid recipient who resides in that State.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Participating hospices will transmit hard copy or tapes of billing information for services that are waivered or currently covered by Medicare to Division of Health Services Studies, Office of Direct Reimbursement (DHSS/ODR), HCFA. This Office will serve as the fiscal intermediary for Medicare payments under the demonstration. DHSS/ODR will transfer the information to an automated record system using flexible diskettes. After the operational phase of the demonstration, this information will be transferred to magnetic tape.

Some participating Medicaid State Agencies have also chosen to use DHSS/ODR as their fiscal intermediary for the demonstration. In these States, participating hospices will also submit Medicaid bills to DHSS/ODR. Other Medicaid State Agencies which use their regular intermediaries for the demonstration will transmit billing information to the independent evaluator.

Besides Medicaid bills, Brown University will also receive copies of all other records in the system, whether generated by DHSS/ODR, Medicaid State Agencies, or cooperating private insurors. From these records and from information extracted from Medicare claims and enrollment files, Brown University will create a master demonstration file (a magnetic tape). HCFA will hold a duplicate of this master file.

HCFA and Brown University will store records in hard copy, flexible diskette and magnetic tape form.

Retrievability:

(a) HCFA will store and retrieve Medicare and Medicaid billing data by beneficiary name and HI claim number or other unique identifier.

(b) HCFA will retrieve data from the master demonstration file by patient name and HI claim number or other unique identifier.

Safeguards:

HCFA and Brown University will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. For computerized records, HCFA and Brown University will initiate automated data processing (ADP) systems security procedures required by the DHHS ADP Systems Manual, Part 6, ADP Systems Security. As examples of system safeguards, DHSS/ODR, which will process the majority of bills submitted by the participating hospices, will store all magnetic tapes in a locked tape library in a locked computer room. The mini-computer used by DHSS/ODR is not linked to any outside terminals and so there is no access to the system beyond the secured computer room. Moreover, only specific personnel may enter this room. The building housing this system is guarded during non-work hours.

Retention and disposal:

HCFA and Brown University will retain these records for the life of the demonstration and the evaluation. HCFA then will destroy all information in records from the demonstration and evaluation which contain personal identifiers, whether in hard copy records or on

magnetic tapes or flexible diskettes. The sole exception will be the hard copy Medicare billing records. Upon completion of the evaluation, these billing records will be sent to the Washington National Records Center in Suitland, Maryland. Records on bills for the Hospital Insurance Program will be destroyed 8-years after payment is made, and records on bills for the Supplementary Medical Insurance Program will be destroyed 5-years after payment is made.

System manager(s) and address:

Director, Office of Research, Demonstrations and Statistics, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure:

Individuals should address inquiries and request concerning system records to the system manager, indicated above, specifying name, approximate date of service (if known), and hospice or hospital. An individual who requests notification or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. These notification and access procedures are in accordance with Department Regulations (45 CFR 5b).

Record access procedures: Individuals who participated in the demonstration project may request their data records in writing. Access procedure is the same as the notification procedure. Requestor should reasonably specify the record contents being sought. These access procedures are in accordance with Department Regulations (45 CFR 5b).

Contesting record procedures:

An individual who wishes to contest the contents of any record in this system should contact the system manager, reasonably identify the record, and specify the information to be contested and the reason for contesting it, e.g., why it is inaccurate or incomplete. These procedures are in accordance with Department Regulations (45 CFR 5b).

Record source categories:

Sources of information contained in this record system include individual patients and primary care givers, the participating hospices, the comparison hospices and hospitals, participating and selected non-participating Medicaid State Agencies, cooperating private insurors, and selected HCFA enrollment and claims files.

Systems exempted from certain provisions of the act: None.

Appendix A—Participating Hospices

Genesee Region Home Care Association, 311 Alexander Street, Rochester, New York 14604.

Connecticut Hospice, Inc., 61 Burban Drive, Branford, Connecticut 06405.

Overlook Hospital, Division of Community Health, 193 Morris Avenue, Summit, New Jersey 07901.

Medical College of Virginia, Box 37, MCV Station, Richmond, Virginia 23298.

Visiting Nurse Association of Dallas, 4606 Greenville Avenue, Dallas, Texas 75206.

Hospital Home Health Care, 400 Walter N.E., Suite 316, Albuquerque, New Mexico 87102.

Hospice Care, Inc., 8891 78th Avenue, North, Seminole, Florida 33543.

Providence Medical Center, 700 N.E. 47th Avenue, Portland, Oregon 97213.

Bethesda Lutheran Medical Center, 559 Capitol Boulevard, St. Paul, Minnesota 55103.

Bellin Memorial Hospital, P.O. Box 1700, 744 South Webster Avenue, Green Bay, Wisconsin 54305.

Community Home Health Care, 2627 Eastlake Avenue East, Seattle, Washington 98102.

Cabrini Medical Center, 227 East 19th Street, New York, New York 10003.

San Diego County Hospice Corporation, 3134 El Cajon Boulevard, San Diego, California 92104.

Hospice of Northern Virginia, Inc., 4715 North 15th Street, Arlington, Virginia 22205.

Santa Barbara Visiting Nurse Association, 133 East Haley Street, Santa Barbara, California 93101.

Boulder County Hospice, 2118 14th Street, Boulder, Colorado 80302.

University of Massachusetts Medical Center, Palliative Care Services, Inc., 55 Lake Avenue, North, Worcester, Massachusetts 01605.

Hospital Home Health Care Agency of California, 23228 Hawthorne Boulevard, Torrance, California 90505.

San Pedro Peninsula Hospital, 1300 West Seventh Street, San Pedro, California 90732.

St. Benedict Hospital and Nursing Home, Johnson at South Alamo, San Antonio, Texas 78204.

Hospice, Inc., 111 N.W. 10th Avenue, Miami, Florida 33128.

Hospice of the Good Shepherd, Inc., P.O. Box 144, Waban, Massachusetts 02168

Visiting Nurse Association, Inc., 260 College Street, Burlington, Vermont 05401.

Hospice of Marin, 71 Mark Drive, No.6, San Rafael, California 94903.

Rogers Memorial Hospital, Inc., 34810 Pabst Road, Oconomowoc, Wisconsin 53066.

Lutheran Medical Center, Continuing Care Unit, 2639 Miami Street, St. Louis, Missouri 63118.

Appendix B—Participating Medicaid State Agencies

Colorado Department of Social Services, 1574 Sherman Street, Denver, Colorado 80203.

New Jersey Department of Human Services, 324 East State Street, Trenton, New Jersey 08625.

Department of Social Welfare, State Office Building, Monpelier, Vermont 05602.

Department of Social and Health Services, Division of Medical Assistance LK-11, Office of Medical Policy and Procedure, Olympia, Washington 98504.

Department of Human Services, Income Support Division, P.O. Box 2348, Santa Fe, New Mexico 87503.

Department of Health Services, 714 P Street, Sacramento, California 95814.

Department of Health and Rehabilitative Services, 1317 Winewood Boulevard, Tallahassee, Florida 32301.

New York State Department of Social Services, 40 North Pearl Street, Albany, New York 12243.

Department of Health, 109 Governor Street, Richmond, Virginia 23219.

Department of Health and Social Services, Room 643, 1 West Wilson Street, Madison, Wisconsin 53702.

Department of Income Maintenance, 110 Bartholomew Avenue, Hartford, Connecticut 06115.

Department of Public Welfare, Income Maintenance Division, 690 North Robert Street, St. Paul, Minnesota 55164.

Department of Public Welfare, 600 Washington Street, Boston, Massachusetts 02111.

Texas Department of Human Resources, P.O. Box 2960, Austin, Texas 78769.

09-70-0025

System name: Evaluation of the Long-Term Home Health Care Program, HHS, HCFA, ORDS

Security classification: None.

System location: Abt. Associates, Inc., 55 Wheeler Street, Cambridge, Massachusetts 02138.

Categories of individuals covered by the system: 1. Past and current participants of the LTHHCP.

2. Comparison patients who meet the eligibility requirements for the LTHHCP and have signed the consent form for this evaluation but are not participants. To participate in the LTHHCP, individuals must fulfill the following four requirements:

1. Be Medicaid eligible.
2. Have a DMS–1 score of at least 60.
3. Annual cost of health care services required by the individual must not exceed 75
of the cost of alternative long-term care, i.e., nursing home care.
4. Have an adequate home situation in which he/she can be maintained.

Categories of records in the system: 1. Records of health status measured by the New York State Medical Assessment Abstract, the DMS–1. These assessments will specify the nature of disabilities, diagnosis, as well as the type of rehabilitation required and the level of care needed.

2. Records of home environment that contain information regarding the potential of the patient's residence for home care, the motivation of the patient and his/her family to retain the patient at home, and various demographic data about the patient.

3. Reports of projected cost of home care that contain information about the projected types and cost of home care services required by the patient.

4. Records for service utilization and cost that include data from major benefit programs, namely, Medicaid, Medicare, Food Stamps,

public assistance, Title XX social services, fuel assistance, and Supplemental Security Income.

5. LTHHCP discharge summary reports that contain information about the patient's health status and service needs upon discharge from the LTHHCP.

Authority for maintenance of the system: Section 402 of the 1967 Amendments to the Social Security Act, Pub. L. 90–248, as amended by section 222(b) of the 1972 Amendments to the Social Security Act, Pub. L. 92–603, and section 1115(a) of the Social Security Act, as amended by section 404 of the Social Security Amendments of 1977, Pub. L. 95–216.

Purpose(s):

The purpose of this system of records is:

1. To develop national policy recommendations to the Congress and the Department of Health and Human Services,
2. To validate the work of the independent evaluator,
3. To determine whether the LTHHCP is meeting its programmatic goals, and
4. To determine the population characteristics, cost and effectiveness of LTHHCP relative to those of programs with similar goals operating elsewhere in the United States.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Abt Associates, Inc., the independent evaluator, will receive all information in the system about health status, service utilization, and cost on either hard copy, magnetic tape, or flexible diskette form, and store it in the master evaluation file, and magnetic tape. The evaluator will use this information to assess changes in health status, in addition to service utilization and cost for patients in the LTHHCP and in the comparison group.

2. HCFA may make disclosures to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hardcopy health status and home environment reports will be stored at Abt Associates, Inc. in a secured storage area. Service utilization and cost information on magnetic tape as well as data tapes created from hardcopy forms, will be stored in locked tape libraries and computer rooms maintained by Abt Associates, Inc. The information from these records will be merged and stored in the master evaluation file.

Retrievability: Information stored on magnetic tape will be retrievable by Medicaid or Social Security number. Information stored on the master evaluation file will also be retrievable by Medicaid number.

Safeguards: Abt Associates will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. For computerized records Abt Associates, Inc., will initiate automated data processing (ADP) systems security procedures required by the DHHS ADP Systems Manual, Part 6, ADP Systems Security. Data files will be accessed and searched with the authorized user password only.

Retention and disposal: Abt Associates, Inc., will retain the records for the life of the evaluation and then transfer to HCFA. HCFA will then destroy all patient identifiers in records from the evaluation, whether in hard copy records or on magnetic tapes or flexible diskettes.

System manager(s) and address: Director, Office of Research, Demonstrations and Statistics Health Care Financing Administration, Room 4228, HHS Building 330 Independence Avenue, SW., Washington, D.C. 20201

Notification procedure: Individuals should address inquiries and requests concerning system records to the system manager indicated above, specifying name and Medicaid number. An individual who requests notification or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. These notification and access procedures are in accordance with Department Regulations (45 CFR 5b).

Record access procedures: Individuals who participate in the demonstration project may request their data records in writing. Access procedure is the same as the notification procedure. Requestor should reasonably specify the record contents being sought. These access procedures are in accordance with Department Regulations (45 CFR 5b).

Contesting record procedures: An individual who wishes to contest the contents of any record in this system should contact the system manager, reasonably identify the record, and specify the information to be contested and the reason for contesting it, e.g., why it is inaccurate or incomplete. These procedures are in accordance with Department Regulations (45 CFR 5b).

Record source categories: Sources of information contained in this record system include individual patients, their families and their primary care givers, participating health care facilities and agencies, cooperating Medicare and Medicaid intermediaries and carriers, and selected Medicare and Medicaid enrollment and claim files. Selected social service claim and enrollment information will be abstracted from supplemental security income, public assistance, fuel assistance, Title XX social services, and food stamps.

Systems exempted from certain provisions of the act: None.

Appendix A—Operating Long-Term Home Health Care Programs

Programs—Upstate Location:
- Cattaraugus County, Department of Health, Olean, New York—Cattaraugus County
- Erie County, Department of Health, Buffalo, New York—Erie County
- Onondaga County, Department of Health, Syracuse, New York—Onondaga County
- 24 Rhode Island Street, Nursing Home Company, Inc., Buffalo, New York—Erie County
- Visiting Nurse Association of Central New York

Programs—New York City:
- Metropolitan Jewish Geriatric Center, New York, New York—Kings County
- Montefiore Hospital & Medical Center, New York, New York—Bronx County
- St. Vincent's Hospital, Chelsea-Village, New York, New York—New York County
- Visiting Nurse Service of New York, New York, New York—Queens County

09–70–0026

System name: Study of the Comparative Effectiveness of State Approaches to Regulation of Medicare Supplemental Policies: Medigap HHS/HCFA/ORDS.

Security classification: None.

System location: The location cannot be given at this time since contract has not been awarded. The contractor site will be available by writing to the System Manager at the address below.

Categories of individuals covered by the system: Medicare beneficiaries who reside in the eight States that are participating in the study. The States will be known by September 1981.

Categories of records in the system: Questionnaires administered to approximately 4,800 Medicare beneficiaries. These questionnaires will provide information on each beneficiary concerning sociodemographic characteristics, such as education, knowledge of and experience with Medicare, number and type of private health insurance policies, identifying information about the policies held and purchasing behavior. A copy of each insurance policy will be obtained from the benficiary if possible or from the insurance company with the policyholder's consent. Questionnaires will show beneficiary name and health insurance claim name (HI claim number) or other unique identifier. Insurance policies will have policyholder's identifying number. The NCHSR questionnaire will be administered to the same study sample of Medicare beneficiaries and will provide information concerning each respondent's knowledge of the risks of needing insurance coverage for long-term care services, the availability of insurance for such risks, the preferences for specific insurance benefits for long-term care and their willingness to pay for those benefits.

Authority for maintenance of the system: HCFA authority is based on Section 1882 of the Social Security Act as amended by Section 507, paragraphs (f)(1) and (f)(2) of Pub. L. 96–265. NCHSR authority is based on Sections 304 and 305 of the Public Health Service Act, as amended by the Health Services Research, Health Statistics, and Medical Libraries Act of 1974, Pub. L. 93–353, and the Health Services Research, Health Statistics and Health Care Technology Act of 1978, Pub. L. 95–623.

Purpose(s):

The purpose of this system of records is to provide information on consumers' purchasing behavior, the policies they hold and the circumstances of insurance sales transactions in order to analyze the effectiveness of varying State insurance regulations on:

Limiting marketing and agent abuse;

Assuring the dissemination of such information to individuals entitled to benefits under this title (and to other consumers) as is necessary to permit informed choice;

Promoting policies which provide reasonable economic benefits for such individuals;

Reducing the purchase of unnecessarily duplicative coverage; and

Improving price competition.

In addition the NCHSR system of records is to provide information on consumer's knowledge of the risks of needing long-term care, the availability of insurance for such risks, the preferences for specific insurance benefits and their willingness to pay for those benefits. This information will be used to contribute to a study of the market potential for private long-term care insurance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. The independent contractor will receive all information in the system from beneficiary questionnaires and their health insurance policies either in hard copy, magnetic tape, or cards and store it in a master file. The independent contractor will use this information to assess the comparative effectiveness of various State regulatory approaches to Medicare supplemental insurance. Once the beneficiary questionnaire information is linked with the health insurance policy information of the beneficiary, all personal identifiers will be removed from the file.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual.

3. In the event of litigation, where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The independent contractor will store records in hard copy and magnetic tape form.

Retrievability: Recorders are indexed by Health Insurance claim number or other unique identifier.

Safeguards: The independent contractor will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. Authorized HCFA representatives will, upon request, be granted access to premises where records are kept for the purpose of inspecting physical security arrangements. However, no data will be released with identifying information. For computerized records, the independent contractor will initiate automated data processing (ADP) system security procedures required by the Department's ADP Systems Manual, Part 6, ADP Systems Security, e.g., use of passwords.

Retention and disposal: The independent contractor will hold hard-copy records, magnetic tapes, and cards until beneficiary specific data are received and compiled. All identifying information and hard-copy will then be destroyed, thus protecting the confidentiality of all information collected. The contractor will retain all records for the life of the contract and then these records will become the custody of the Office of Research, Demonstrations, and Statistics, HCFA. The independent contractor will not retain any beneficiary based files. Data supplied to HCFA and NCHSR will not include beneficiary identifiers. No data which would possibly identify an individual will be supplied.

System manager(s) and address: Director, Office of Research, Demonstrations, and Statistics, Health Care Financing Administration, Room 4222, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Notification procedure: To determine if a record exists, write to the Systems manager at the address indicated above, specifying name, address and health insurance claim number. These notification and access procedures are in accordance with Department Regulations (45 CFR 5b).

Record access procedures: Individuals participating in the Survey may request their data records in writing. Access procedure is the same as the notification procedure. Requestor should reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b)).

Contesting record procedures: An individual who wishes to contest the contents of any record in this system should contact the system manager and reasonably identify and specify the information to be contested and reason for contesting, why it is inaccurate or incomplete. (These procedures are in accordance with Department Regulations (45 CFR 5b)).

Record source categories: Sources of information contained in this record system include Medicare beneficiaries, insurance companies, survey contractor and subcontractors (if any), and selected HCFA files.

Systems exempted from certain provisions of the act: None.

09-70-0501

System name: Carrier Medicare Claims Records. HHS, HCFA, BPO.

Security classification: None.

System location: Carriers under contract to the Health Care Financing Administration and the Social Security Administration (see Appendix C, Section 4.)

Federal Records Centers,

Bureau of Quality Control, HCFA, Office of Systems Analysis, 6325 Security Boulevard, Baltimore, Maryland 21207

HHS Parklawn Computer Center, 5600 Fishers Lane, Rockville, Maryland 20857.

Categories of individuals covered by the system: Beneficiaries who have submitted claims for Supplementary Medical Insurance Benefits (Medicare Part B).

Categories of records in the system: Request for Payment; Provider Billing for Patient Services by Physician; Prepayment Plan for Group Medicare Practices Dealing through a Carrier, Health Insurance Claim Form, Request for Medical Payment, Patient's Request for Medicare Payment, Request for Medicare Payment—Ambulance, Explanation of Benefits, Summary Payment Voucher, Request for Claim Number Verification; Payment Record Transmittal; Statement of Person Regarding Medicare Payment for Medical Services Furnished Deceased Patient; Report of Prior Period of Entitlement; itemized bills and other similar documents from beneficiaries required to support payments to beneficiaries and to physicians and other suppliers of part B Medicare services.

Authority for maintenance of the system: Sections 1842 and 1874 of title XVIII of the Social Security Act. (42 U.S.C. 1395u and 1395kk)

Purpose(s):

To properly pay medical insurance benefits to or on behalf of entitled beneficiaries.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to: (1) Claimants, their authorized representatives or representative payees to the extent necessary to pursue claims made under Title XVIII of the Social Security Act (Medicare).

(2) Third-party contacts (without the consent of the individuals to whom the information pertains) in situations where the party to be contacted has, or is expected to have information relating to the individual's capability to manage his or her affairs or to his or her eligibility for or entitlement to benefits under the Medicare program when:

(a) The individual is unable to provide the information being sought (an individual is considered to be unable to provide certain types of information when any of the following conditions exist: individual is incapable or of questionable mental capability, cannot read or write, cannot afford the cost of obtaining the information, a language barrier exists, or the custodian of the information will not, as a matter of policy, provide it to the individual), or

(b) The data are needed to establish the validity of evidence or to verify the accuracy of information presented by the individual, and it concerns one or more of the following: the individual's eligibility to benefits under the Medicare program; the amount of reimbursement; any case in which the evidence is being reviewed as a result of suspected abuse or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement of system activities.

(3) Third-party contacts where necessary to establish or verify information provided by representative payees or payee applicants.

(4) The Treasury Department for investigating alleged theft, forgery, or unlawful negotiation of Medicare reimbursement checks.

(5) The U.S. Postal Service for investigating alleged forgery or theft of Medicare checks.

(6) The Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, or other criminal statutes as they pertain to the Social Security Act programs, for representing the Secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

(7) The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment.

(8) Professional Standards Review Organizations in connection with their review of claims, or in connection with studies or other review activities, conducted pursuant to Part B of Title XI of the Social Security Act.

(9) State Licensing Boards for review of unethical practices or nonprofessional conduct.

(10) Providers and suppliers of services (and their authorized billing agents) directly or dealing through fiscal intermediaries or carriers, for administration of provisions of title XVIII.

(11) An individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) there is reasonable probability that the objective for the use would be accomplished;

(c) requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA,

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(12) State welfare departments pursuant to agreements with the Department of Health and Human Services for administration of State supplementation payments for determinations of eligibility for Medicaid, for enrollment of welfare recipients for medical insurance under section 1843 of the Social Security Act, for quality control studies, for determining eligibility of recipients of assistance under titles IV and XIX of the Social Security Act, and for the complete administration of the Medicaid program.

(13) A congressional office from the record of an individual in response to an inquiry from the congressional office at the request of that individual.

(14) State audit agencies in connection with the audit of Medicare eligibility considerations. Disclosures of physicians' customary charge data are made to State audit agencies in order to ascertain the correctness of Title XIX charges and payments.

(15) In the event of litigation where the defendant is (a) the Department, any component of Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(16) Peer review groups, consisting of members of State, County, or local medical societies or medical care foundations (physicians), appointed by the medical society or foundation at the request of the carrier to assist in the resolution of questions of medical necessity, utilization of particular procedures or practices, or overutilization of services with respect to Medicare claims submitted to the carrier.

(17) Physicians and other suppliers of services who are attempting to validate individual items on which the amounts included in the annual Physician/Supplier Payment List or similar publications are based.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records maintained on paper, tape, disc, and punchcards.

Retrievability:

System is indexed by health insurance claim number. The record is prepared by the beneficiary and is used by carriers to determine amount of Part B benefits. The bills are retained by the carriers. Copies of selected parts of the records will be used by the Office of Systems Analysis and data will be retrieved in Rockville from Baltimore via dial-up telecommunications lines.

Safeguards:

Unauthorized personnel are denied access to the records area. Disclosure is limited. Physical safeguards related to the transmission and reception of data between Rockville and Baltimore are those requirements established by the DHHS ADP Systems Manual, Part 6, Chapter 32, "Remote ADP Work Stations."

Retention and disposal:

Records are closed at the end of the calendar year in which paid, held two additional years, transferred to Federal Records Center and destroyed after another 2 years.

System manager(s) and address:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Md. 21207

Notification procedure:

Inquiries and requests for system records should be addressed to the most convenient social security office, the appropriate carrier, the HCFA Regional Office, or to the system manager named above. The individual should furnish his or her health insurance claim number and the name as shown on social security records. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6).)

Record access procedures:

Same as notification procedures. Requesters should also reasonably specify the records contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories:

The data contained in these records is furnished by the individual. In most cases, the identifying information is provided to the physician by the individual. The physician then adds the medical information and submits the bill to the carrier for payment.

Systems exempted from certain provisions of the act:

None.

09-79-0502

System name: Health Insurance Master Record, HHS/HCFA/BPO.

Security classification: None.

System location:

Health Care Financing Administration, Bureau of Support Services, 6325 Security Blvd., Baltimore, Md. 21207
HHS Parklawn Computer Center, 5600 Fishers Lane, Rockville, Maryland 20857.
Federal Records Centers

Categories of individuals covered by the system: Individuals age 65 or over who have been, or currently are, entitled to health insurance (Medicare) benefits under title XVIII of the Social Security Act; individuals under age 65 who have been, or currently are, entitled to such benefits on the basis of having been entitled for not less than 24 months to disability benefits under title II of the Act or under the Railroad Retirement Act, and individuals who have been; or current-

ly are, entitled to such benefits because they have end-stage renal disease.

Categories of records in the system: The system contains information on enrollment, entitlement, authorization from the Veterans Administration (VA) to receive VA-financed medical services at non-VA facilities, Part A (Hospital) and B (Supplementary Medical) utilization, query and reply activity, health insurance bill and payment record processing, and Health Insurance Master Record maintenance.

Authority for maintenance of the system: Sections 1814 and 1833 of title XVIII of the Social Security Act (42 U.S.C. 1395f and 1395l).

Purpose(s):

To maintain information on Medicare beneficiary eligibility and costs in order to reply to inquiries from contractors and intermediaries and to maintain utilization data for health insurance bill and payment record processing.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to: (1) The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Act relating to railroad employment.

(2) Statement Welfare Department pursuant to agreements with the Department of Health and Human Services for determining Medicaid and Medicare eligibility, for quality control studies, for determining eligibility of recipients of assistance under titles IV, XVIII, and XIX of the Social Security Act, and for the complete administration of the Medicaid program:

(3) State audit agencies for auditing State Medicaid eligibility considerations.

(4) Providers and suppliers of services directly or dealing through fiscal intermediaries or carriers for administration of title XVIII.

(5) A congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(6) An individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual.

(b) For use in another research project, under these same conditions, and with written authorization of HCFA.

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(7) In the event of litigation where the defendant (a) the Department, or any employee of the Department in his or official capacity; (b) The United States where the Department determines that the claim, if successful, is likely to direct affect the operations of the Department or any of its components; or (c) any department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(8) To a contractor when the Department contracts with a private firm for the purpose of collating, analyzing, aggregating, or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records maintained on paper, listings, microfilm, magnetic tape disc and punchcards.

Retrievability: System is in sequence by health insurance claim number, and is used to carry out the tasks of enrollment, query/reply activity, and health insurance bill and payment record processing. Copies of selected parts of the records will be used by the Office of Systems Analysis; data will be retrieved in Rockville from Baltimore via dialup telecommunications lines.

Safeguards: Unauthorized personnel are denied access to the records areas. Disclosure is limited to routine use. For computerized records electronically transmitted between Central Office and field office location (including Medicare contractors), systems securities are established in accordance with: DHHS ADP Systems Manual, Part 6, "ADP Systems Security." Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: Records are generally added to the file several months prior to entitlement. After the death of a beneficiary, his or her records may be placed in an inactive file following a period of no billing or query activity. The current 5 years of Part B and current 5 spells of Part A utilization data are maintained. All noncurrent data is microfilmed prior to elimination from the system.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Md. 21207

Notification procedure: Inquiries and requests for system records should be addressed to the most convenient social security office, the appropriate carrier or intermediary, the HCFA Regional Office, or to the system manager named above. The individual should furnish his or her health insurance claim number and name as shown on Medicare records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR. Section 5b.5(a)(2).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7)).

Record source categories: The data contained in these records are furnished by the individual. There are cases, however, in which the identifying information is provided to the physician by the individual; the physican then adds the medical information and submits the bill to the carrier for payment. Updating information is also obtained from the Master Beneficiary Record.

Systems exempted from certain provisions of the act: None.

09-70-0503

System name:

Intermediary Medicare Claims Records, HHS, HCFA, BPO.

Security classification:

None.

System location:

Intermediaries under contract to the Health Care Financing Administration and the Social Security Administration (See Appendix C, Section 3.)

Federal Records Centers

Bureau of Quality Control, HCFA, Office of Systems Analysis, 6325 Security Boulevard, Baltimore, Maryland 21207, HHS Parklawn Computer Center, 5600 Fishers Lane, Rockville, Maryland 20857.

Categories of individuals covered by the system:

Beneficiaries on whose behalf providers have submitted claims for reimbursement on a reasonable cost basis under Medicare Parts A and B.

Categories of records in the system:

Inpatient Hospital and Skilled Nursing Facility Admission and Billing; Provider Billing for Medical and Other Health Services; Inpatient Admission and Billings—Christian Science Sanatorium;

Home Health Agency Report and Billing, and other documents used to support payments to beneficiaries and providers of services. These forms contain the beneficiary's name, sex, health insurance claim number, address, date of birth, medical record number, prior stay information, provider name and address, physician's name, date of admission and discharge, other health insurance, diagnoses, surgical procedures, and a statement of services rendered.

Authority for maintenance of the system: Section 1816 and 1874 of Title XVIII of the Social Security Act. (42 U.S.C. 1395h and 1395kk.)

Purpose(s):

To process and pay Medicare benefits to or on behalf of eligible individuals.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to:

(1) Claimants, their authorized representatives or representative payees to the extent necessary to pursue claims made under title XVIII of the Social Security Act (Medicare).

(2) Third-party contacts without the consent of the individual to whom the information pertains in situations where the party to be contacted has, or is expected to have information relating to the individual's capability to manage his or her affairs or to his or her eligibility for or entitlement to benefits under the Medicare program when:

(a) The individual is unable to provide the information being sought (an individual is considered to be unable to provide certain types of information when any of the following conditions exist: individual is incapable or of questionable mental capability, cannot read or write, cannot afford the cost of obtaining the information, a language barrier exists, or the custodian of the information will not, as a matter of policy, provide it to the individual) or

(b) The data are needed to establish the validity of evidence or to verify the accuracy of information presented by the individual, and it concerns one or more of the following: the individual's eligibility to benefits under the Medicare program: the amount of reimbursement; any case in which the evidence is being reviewed as a result of suspected abuse or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement of systems activities.

(3) Third-party contacts where necessary to establish or verify information provided by representative payees or payee applicants.

(4) The Treasury Department for investigating alleged theft, forgery, or unlawful negotiation of Medicare reimbursement checks.

(5) The U.S. Postal Service for investigating alleged forgery or theft of Medicare checks.

(6) The Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, or other criminal statutes as they pertain to Social Security Act programs, for representing the secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

(7) The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment.

(8) Professional Standards Review Organizations in connection with their review of claims, or in connection with studies or other review activities, conducted pursuant to Part B of Title XI of the Social Security Act.

(9) State Licensing Boards for review of unethical practices or nonprofessional conduct.

(10) Providers and suppliers of services (and their authorized billing agents) directly or dealing through fiscal intermediaries or carriers, for administration of provisions of title XVIII.

(11) An individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA,

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of and willingness to abide by the provisions.

(12) State welfare departments pursuant to agreements with the Department of Health and Human Services for administration of State supplementation payments for determination of eligibility for Medicaid, for enrollment of welfare recipients for medical insurance under Section 1843 of the Social Security Act, for quality control studies, for determining eligibility of recipients of assistance under titles IV and XIX of the Social Security Act, and for the complete administration of the Medicaid program.

(13) A congressional office from the record of an individual in response to an inquiry from the congressional office at the request of that individual.

(14) State audit agencies in connection with the audit of Medicaid eligibility considerations.

(15) In the event of litigation where the defendant is (a) the Department, any components of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purposes for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records maintained on paper forms, magnetic tape and microfilm.

Retrievability: The system is indexed by health insurance claim number. The record is prepared by the hospital or other provider with identifying information received from the beneficiary to establish eligibility for Medicare and document and support payments to providers by the intermediaries. The bill data are forwarded to the Health Care Financing Administration, Bureau of Support Services, Baltimore, Md., where they are used to update the central office records. Copies of selected parts of the records will be used by the Office of Systems Analysis; data will be retrieved in Rockville from Baltimore via dial-up telecommunications lines.

Safeguards: Disclosure of records is limited. The file area is closed to unauthorized personnel. Physical safeguards related to the transmission and reception of the data between Rockville and Baltimore are those requirements establish by the DHHS ADP Systems Manual, Part 6, Chapter 32, "Remote ADP Work Stations."

Retention and disposal: Records are closed out at the end of the calendar year in which paid, held 2 more years, transferred to the Federal Records Center and destroyed after another 6 years.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Doulevard, Baltimore, Md. 21207.

Notification procedure: Inquiries and requests for systems records should be addressed to the social security office nearest the requester's residence, the appropriate intermediary, the HCFA Regional Office, or to the system manager named above. The individual should furnish his or her health insurance number and name as shown on social security records. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, section 5b.6).)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the records contents being

sought. (The access procedures are in accordance with Department Regulations (45 CFR, section 5b.5(a)(2).)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, section 5b.7).)

Record source categories: The identifying information contained in these records is obtained by the provider from the individual; the medical information is entered by the provider of medical services.

Systems exempted from certain provisions of the act: None.

09–70–0504

System name: Beneficiary Part A and B Uncollectible Overpayment File, HHS, HCFA, BPO.

Security classification: None.

System location: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Maryland 21207.

Categories of individuals covered by the system: The system contains the name of the beneficiary on whose account an overpayment has been made and the name of the physician or supplier to whom the overpayment was made.

Categories of records in the system: The file includes completed Medicare claims forms which contain patient's name, sex, claim number, address, date of birth, date of treatment, diagnosis, and summary of treatment rendered as well as other documents that were used in calculating the existence and amount of overpayment.

Authority for maintenance of the system: Section 1870 of the Social Security Act (42 U.S.C. 1395gg) and Section 3 of the Federal Claims Collection Act of 1966, 30 U.S.C. 952.

Purpose(s):

To provide documentation and to control cases involving Medicare beneficiary overpayments which are not collectible.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made: (1) to the Department of Justice when civil litigation is involved, (2) to the Internal Revenue Service for investigation of alleged tax fraud, (3) to Professional Standards Review Organizations and State Licensing Boards for review of unethical practices or non-professional conduct. (Further, HCFA may request a credit report on certain physicians or suppliers from whom repayment of an overpayment is requested.) (4) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; and (5) in the event of litigation where the defendant is (a) the Department, any components of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files maintained in file cabinets.

Retrievability: The system is indexed by health insurance number.

Safeguards: Only authorized personnel are permitted in the file area.

Retention and disposal:

The files are retained indefinitely.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for system records should be addressed to the system manager named above and directed to the attention of the Office of Standards and Performance Evaluation, Division of Reimbursement, Recovery, and Reconsideration Evaluation, Reconsideration Evaluation Branch.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Data in these records is obtained from carrier or intermediary billing records.

Systems exempted from certain provisions of the act: None.

09–70–0505

System name: Supplemental Medical Insurance Accounting Collection and Enrollment System. HHS/HCFA/BPO.

Security classification: None.

System location: Health Care Financing Administration, Bureau of Support Services, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: Health insurance beneficiaries whose supplementary medical insurance benefit and/or hospital insurance benefit premiums are paid by a third-party; a State welfare agency, the U.S. Office of Personnel Management or a private organization.

Categories of records in the system: Beneficiary's name, health insurance claim number, date of birth, sex, amount of premium liability, date agency first became liable for HIB (Health Insurance Benefit) of SMIB (Supplemental Medical Insurance Benefit) premiums, last month of agency premium liability, agency identification numbers, Civil Service annuity number for U.S. Office of Personnel Management recipients.

Authority for maintenance of the system: Sections 1840 (d) and (e) and 1843 of title XVIII of the Social Security Act. (42 U.S.C. 1395s (d) and (e) and 1395v).

Purpose(s):

To process changes to HI/SMI premium payments by third parties (such as State agencies, private groups, Office of Personnel Management) on behalf of Medicare beneficiaries; for billing third parties; and for enrolling individuals for SMI coverage under State buy-in agreements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to: (1) State welfare departments pursuant to agreements with the Department of Health and Human Services for enrollment of welfare recipients for medical insurance under section 1843 of the Social Security Act. (2) a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual, and (3) in the event of litigation where the defendant is (a) the Department, any component of the Department or any employee of the Department in his of her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, microfilm.

Retrievability: The system is indexed by health insurance claim number.

Safeguards: Only authorized personnel have direct access to information in the Third-Party Master Record. In addition, all personnel are advised that this information is confidential.

Retention and disposal: Tape records are retained for 90 days, filed for 1 year, then erased. Correspondence files are retained for 1 year, then discarded. Monthly microfilm records are destroyed after 1 year.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for system records should be addressed to the system manager named above and directed to the attention of the Office of Methods and Systems, Division of Eligibility Systems. The individual should furnish his or her health insurance claim number and name as shown on Medicare records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being

sought. (The access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: The identifying information contained in these records is obtained from third-party agencies, the Social Security Administration; Master Beneficiary Record, and the Health Insurance Master Record.

09-70-0506

System name:

Group Health Plan System HHS, HCFA, BPO.

Security classification: None.

System location: Health Care Financing Administration, Bureau of Support Services, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: Recipients of Part A (Hospital Insurance) and Part B (supplementary medical) Medicare services.

Categories of records in the system: The system contains information about a beneficiary's health insurance entitlement and supplementary medical benefits usage.

Authority for maintenance of the system: Sections 1833(a)(1)(A), 1866 and 1876 of Title XVIII of the Social Security Act. (42 U.S.C. 1395(a)(1)(A), 1395cc, and 1395mm).

Purpose(s):

To maintain a master file of Group Health Plan members for accounting control; to expedite the exchange of data with the Group Health Plans; and to control the posting of pro-rata amounts to the Part B deductible of currently enrolled Group Health Plan members.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department of present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(3) To an individual or organizations for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose; for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) there is reasonable probability that the objective for the use would be accomplished;

c. requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA,

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of an willingness to abide by these provisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and paper listing.

Retrievability: The system is indexed by health insurance claim number.

Safeguards: Only authorized personnel have direct access to information in the Group Health Plan system. In addition, Group Health Plan personnel are advised that information is confidential.

Retention and disposal: Health insurance materials used to support the accuracy of the charge per service billed by the plan are retained for 3 years, then destroyed.

System manager(s) and address: Health Care Financing Administration; Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for system records should be addressed to the system manager named above and directed to the attention of the Group Health Plan Operations Staff. The individuals should furnish his or her health insurance claim number as shown on social security records.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, 5b.7).))

Record source categories: The identifying information contained in these records is obtained from the group health plans (which obtained the data from the individual concerned).

Systems exempted from certain provisions of the act: None.

09-70-0507

System name:

Health Insurance Utilization Microfilm HHS, HCFA, BPO.

Security classification:

None.

System location:

Health Care Financing Administration, Bureau of Support Services, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system:

Records are maintained of all transactions for individuals who are entitled or have entitled to Medicare benefits.

Categories of records in the system:

The system contains transactions accepted or rejected, and the reason for such rejection. Transactions are maintenance type as well as utilization.

Authority for maintenance of the system:

Section 1814 and 1833 of Title XVIII of the Social Security Act. (42 U.S.C. 1395f and 1395l)

Purpose(s):

To provide a history file of chronological transactions that can be referenced to verify beneficiary entitlement to Medicare benefits.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure may be made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfilm.

Retrievability:

The system is indexed by health insurance claim number. It is used primarily to document the Health Insurance master file and to respond to inquiries. The Health Insurance Utilization Microfilm is the history (audit) trail of Hospital Insurance/Supplementary Medical Insurance.

Safeguards:

Requests for microfilm must be submitted to the Bureau of Support Services, HCFA.

Retention and disposal:

Retained indefinitely.

System manager(s) and address:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure:

Inquiries and requests for system records should be addressed to the system manager named above. The individual should furnish his or her health insurance claim number and name as shown on social security records.

Record access procedures: The individual can obtain information on the procedures for gaining access to and contesting records from the most convenient social security office or from the system manager named above. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Sec. 5b.5(a)(2).))

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).))

Record source categories:

The identifying information contained in these records is obtained by the provider of services from the individual, from the individual himself or herself, or from suppliers of services (e.g., physicians).

Systems exempted from certain provisions of the act:

None.

09–70–0508

System name:

Reconsideration and Hearing Case Files (Part A) Hospital Insurance Program HHS, HCFA, BPO.

Security classification:

None.

System location:

Health Care Financing Administration, Bureau of Program Operations, Office of Standards and Performance Evaluation, Division of Reimbursement, Recovery and Reconsideration Evaluation, Reconsideration Evaluation Branch, 6325 Security Boulevard, Baltimore, Maryland 21207.

and Washington National Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Individuals dissatisfied with an initial determination as to the amount of benefits payable on the beneficiary's behalf under the hospital insurance program who have filed either an expressed or implied request for reconsideration.

Categories of records in the system:

Reconsideration development and case summary; Part A—review action; complaint sheet; Request for Hearing; Request for Reconsideration of Part A Health Insurance Benefits; and comparable forms and evidence furnished by beneficiaries or their representatives, intermediary action, correspondence, reconsideration determination, Administrative Law Judges' decisions, original bills, Appeals Council decisions and related correspondence.

Authority for maintenance of the system:

Sections 1812, 1814, 1816, and 1869 of Title XVIII of the Social Security Act (42 U.S.C. 1395d, 1395f, 1395h, and 1395ff).

Purpose(s):

To maintain Part A reconsideration claims file history for possible further appeal actions and for monitoring intermediary performance on a sample basis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure may be made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in open-shelf file cabinets.

Retrievability:

The system is indexed by health insurance claim number.

Safeguards:

The file is closed to unauthorized personnel. Disclosure of records is limited to routine uses.

Retention and disposal:

Records are placed in inactive file when final action is taken on the case and closed out at the end of the calendar year in which final action was taken. They are held 1 additional year, transferred to the Washington National Records Center and destroyed after 5 years.

System manager(s) and address:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Maryland 21207.

Notification procedure:

Inquiries and requests for system records should be addressed to the system manager named above. The individual should furnish his or her health insurance claim number and name as shown on social security records. The individual can obtain information on the procedures for gaining access to and contesting records from the most convenient social security office or from the system manager named above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Section 5b.5(a)(2).))

Contesting record procedures: Contact the system manager named above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: The information contained in these records is furnished by the beneficiary, his or her representative, or other person requesting a review of the claim and from the reviewing authority (the supplementary health insurance carrier).

Systems exempted from certain provisions of the act: None.

09–70–0509

System name: Medicare Beneficiary Correspondence Files HHS, HCFA, BPO.

Security classification: None.

System location: Health Care Financing Administration, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: Medicare beneficiaries and others including Congressional offices and the White House, who correspond with the Health Care Financing Administration, Bureau of Program Operations.

Categories of records in the system: Correspondence containing operations related inquiries, complaints, or suggestions received by the Social Security Administration Central Office, and Health Care Financing Administration Central Office or correspondence referred by other Government agencies. Correspondence may contain requests under the Freedom of Information Act when the requests'

concerns are under the jurisdiction of the HCFA Bureau of Program Operations (BPO).

Authority for maintenance of the system: Section 1874 of Title XVIII of the Social Security Act. (42 U.S.C. 1395kk)

Purpose(s):

Serves as documentation of actions with respect to each inquiry and to assist in responding to simultaneous and subsequent inquiries. Assist BPO staff in analyzing correspondence, in researching needed material, and in identifying major problems and conflicts in existing BPO policy, procedures, and practices.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his of here official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records maintained in file cabinets.

Retrievability: The system is indexed alphabetically, using the last name of the beneficiary and/or by designated batch number. It is used to control correspondence in connection with Medicare.

Safeguards: The file area is closed to unauthorized personnel.

Retention and disposal: Correspondence for congressional inquiries is destroyed 1 year after the close of the year in which the records are dated; other correspondence is destroyed within 30 days of completion except where records are required to document a specific claim, reconsideration, appeal, or similar case, the files are treated in accordance with the instructions for the specific file.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for records should be directed to the same address as that with which the correspondence was initiated. The individual can obtain information on the procedures for gaining access to and contesting records from the system manager named above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Section 5b.5(a)(2).))

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: The initial correspondence in these records is prepared by the beneficiary or other inquirers; the response is prepared by the appropriate Health Care Financing Administration component.

Systems exempted from certain provisions of the act: None.

09–70–0510

System name: Alphabetical Name File (folder) of Health Insurance Program Consultants HHS, HCFA, BPO.

Security classification: None.

System location: Health Care Financing Administration, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: Individuals who have contracted to provide consultant services to the Administration.

Categories of records in the system: Each folder contains the consultant's name, social security number, mailing address, city and state, ZIP Code; total amount of the consultant's contract and the amount of money billed each month for his or her service.

Authority for maintenance of the system: Social Security Act, Section 1874(b). (42 U.S.C. 1395kk(b)).

Purpose(s):

To maintain an accounting of consultant contractors.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department of any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Folder.

Retrievability: Name—Comparing actual expenditures against budget.

Safeguards: Office is locked during nonworking hours.

Retention and disposal: Retain 1 year, then discard.

System manager(s) and address: Health Care Financing Administration, Office of Management and Budget, Office of Human Resources and Administrative Services, 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for systems records should be addressed to the social security office nearest the requester's residence, the appropriate intermediary, the HCFA Regional Office, or the the system manager named above. The individual should furnish his or her health insurance number and name as shown on social security records (These notification and access procedures are in accordance with Department Regulations (45 CFR Section 5b.6).)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations(45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures: Contact the system manager named above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Original contracts and monthly billings.

Systems exempted from certain provisions of the act: None.

09–70–0512

System name: Review and Fair Hearing Case Files—Supplementary Medical Insurance Program, HHS, HCFA, BPO.

Security classification: None.

System location: Carriers (see Appendix C, Section 4) and Federal Records Centers

Categories of individuals covered by the system: Beneficiary, physician, provider or other supplier of service who is dissatisfied with the carrier's determination denying a request for payment, or with the amount of the payment or with the length of time being taken to process the claim for payment.

Categories of records in the system: Claimants' requests for review, relevant written statement of evidence, notice of adverse informal review decisions, requests for hearings to protest adverse decisions, hearings proceedings, hearings officers' final decisions and comparable papers.

Authority for maintenance of the system: Sections 1812 and 1842 of Title XVIII of the Social Security Act. (42 U.S.C. 1395d and 1395u).

Purpose(s):

To maintain a file for reviewing determinations of Medical insurance claims and related material.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures may be made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any if its components; or (c) any Department employee in

his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file cabinets.

Retrievability: The records are indexed by health insurance claim number.

Safeguards: Disclosure of records is limited to routine uses. The files are closed to unauthorized personnel.

Retention and disposal: Records are closed out at the end of the calendar year in which the action (reconsideration, hearing, court review) is completed, held 2 more years, transferred to Federal Records Center and destroyed after another 6 years.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for records should be directed to the most convenient social security office or to the system manager named above. The individual should furnish his or her health insurance claim number and name as shown on social security records. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR Section 5b.6).)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Section 5b.5(a)(2)).)

Contesting record procedures: Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department regulations (45 CFR Section 5b.7).)

Record source categories: The information contained in these records is furnished by the beneficiary requesting reconsideration or his or her authorized representative and from the reviewing authority.

Systems exempted from certain provisions of the act: None.

09–70–0513

System name: Explanation of Medicare Benefit Records HHS, HCFA, BPO.

Security classification: None.

System location: Intermediaries and carriers (see Appendix C, Sections 3 and 4) and Federal Records Centers.

Categories of individuals covered by the system: All recipients of Medicare services and supplies.

Categories of records in the system: Medicare hospital insurance benefits record, Part B home health benefits record; Medicare hospital insurance benefits record. These are notices of utilization and explanation of Medicare benefits. They also advise beneficiaries of remaining hospital insurance benefits and the hospital and supplementary medical deductible status.

Authority for maintenance of the system: Sections 205, 226, 1811, and 1832 of Title XVIII of the Social Security Act. (42 U.S.C. 405, 426, 1395c, and 1395k)

Purpose(s):

To maintain a file of Explanations of Medicare benefits sent to beneficiaries advising them of Medicare payments made on their behalf, benefits remaining, and whether the various deductible requirements have been satisfied.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Copies of forms sent to beneficiaries are retained in file cabinets.

Retrievability: The records are indexed by health insurance number. These records are used to advise the beneficiary of the payments made on his or her behalf and where applicable, the benefits remaining.

Safeguards: Disclosure of records is limited. The file area is closed to unauthorized personnel.

Retention and disposal: Closed out at the end of the year in which the benefit was paid or denied; held 1 year, transferred to the Federal Records Center where record is destroyed after 5 years.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for system records should be addressed to the most convenient social security office (see Appendix F), or to carrier or intermediary who issued the notice.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: The identifying information is furnished by the beneficiary when requesting payment; the medical procedures are furnished by the physician or provider and the amount of payment and remaining benefits are furnished by the intermediary or carrier.

Systems exempted from certain provisions of the act: None.

09–70–0516

System name: Medicare Physician Supplier Master File HHS/HCFA/BPO.

Security classification: None.

System location: Carriers under contract to the Health Care Financing Administration and the Social Security Administration. (See Appendix C, Section 4.)

Categories of individuals covered by the system: Physicians and suppliers who provide medical services or supplies to Medicare beneficiaries.

Categories of records in the system: A compilation of all charges submitted by a physician or supplier for services and supplies to: (1) derive "reasonable charge" information; (2) determine economic indexes; and (3) to substantiate the basis for payment to beneficiaries, physicians, suppliers and hospitals.

Authority for maintenance of the system: Sections 1833, 1835, 1842 and 1874 of title XVIII of the Social Security Act. (42 U.S.C. 1395*l*, 1395n, 1395u, and 1395kk).

Purpose(s):

To determine health care reasonable charges and the geographical area prevailing charges.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records from this system may be disclosed (1) to a provider, the claimant or a prospective claimant, the name of a physician who has been found ineligible to submit claims under Section 1814(h) (Payment for Posthospital Extended Care Services) or Section 1814(i) (Payment for Posthospital Home Health Services) of Title XVIII of the Social Security Act. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (3) Disclosure may be made to the title XIX State agency or the title XIX fiscal agents of the customary and prevailing charge screens and whatever other information is contained in the file and would be required to determine "reasonable charges" as required under section 1903(i)(G) of the Social Security Act. (4) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United

States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on magnetic tape, microfilm, and hard copy paper.

Retrievability: The records are indexed by physician provider numbers and supplier EIN (employer's identification number). The records are prepared and updated daily by carriers as a basis for determining reasonable charges and area prevailing charges.

Safeguards: Disclosure of records is limited to carrier personnel on a need-to-know basis. The files are closed to unauthorized personnel. The determination as to which personnel are authorized will vary slightly in different carrier installations. All carriers have guards at the building entrance to prevent intrusion by individuals not employees or not having business with the carrier. One or more of the following security measures are used within the building: color coded identification cards are used to establish the right of an employee to be in a specific area; cipher locks are used to protect files and computer areas; magnetic identification cards are used to gain access to security sensitive areas; video monitoring of sensitive areas is constant.

Retention and disposal: Records are closed out the first quarter following the close of the previous calendar year. Files are retained indefinitely.

System manager(s) and address: Health Care Financing Administration Director, Bureau of Program Operation 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for records information should be directed to the carrier servicing the physician's or supplier's geographical area. Individuals who want to determine if they have a record in this system must provide their full name and address.

Record access procedures: Same as notification procedures. Requesters should reasonably specify the record contents being sought. (These access procedures are in accordance with Department regulations (45 CFR 5b.5(a)(2).)

Contesting record procedures: Contact the Systems Manager at the address specified above and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations, 45 CFR 5b.7).)

Record source categories: Information contained in these records is furnished in part by the individual physicians or supplier and in part abstracted from Medicare Part B billing records.

Systems exempted from certain provisions of the act: None.

09–07–0517

System name: Physician/Supplier 1099 File (Statement for Recipients of Medical and Health Care Payments) HHS/HCFA/BPO.

Security classification: None.

System location: Carriers and intermediaries under contract to the Health Care Financing Administration and the Social Security Administration (see Appendix C, Section 3, and Section 4.)

Categories of individuals covered by the system: Physician/suppliers to whom Medicare payments have been made by carriers of intermediaries.

Categories of records in the system: A record of total Medicare payments made to physicians and suppliers during each calendar year. It contains the name, address and social security number of the physician/provider number or supplier EIN (employer identification number).

Authority for maintenance of the system: 26 U.S. Code 6041 (Internal Revenue Code).

Purpose(s):

For periodic reporting to the IRS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to: (1) This record is disclosable to the Internal Revenue Service in connection with the determination of the individual's self-employent income. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained on magnetic tape and paper.

Retrievability: The system is indexed by physician/provider number and supplier EIN (employer's identification numbers).

Safeguards: Records are maintained in secure storage areas accessible only to authorized personnel.

Retention and disposal: The records are retained for 5 years.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for systems records should be directed to the intermediary or carrier who made Medicare payments to the physician/supplier.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2).)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: The record of total annual payments made to each physician/supplier is derived from the individual Medicare bill payments.

Systems exempted from certain provisions of the act: None.

09–70–0518

System name: Medicare Clinic Physician Supplier Master File, HHS, HCFA, BPO.

Security classification: None

System location: Carriers under contract to the Health Care Financing Administration and the Social Security Administration. (See Appendix C, Section 4.)

Categories of individuals covered by the system: Physicians and suppliers in a clinic who provide medical services or supplies to Medicare beneficiaries.

Categories of records in the system: A compilation of all charges submitted by a clinic physician or supplier for services or suppliers to (1) derive "reasonable charge" information; (2) determine economic indexes; and (3) to substantiate the basis for payment to beneficiaries, physicians suppliers, and hospitals.

Authority for maintenance of the system: Sections 1833, 1835, 1842 and 1874 of title XVIII of the Social Security Act. (42 U.S.C. 1395l, 1395n, 1395u, and 1395kk).

Purpose(s):

To determine Medicare reimbursement rates from physician and supplier charge patterns.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to: (1) Professional Standards Review Organizations and State Licensing Boards for review of unethical practices or nonprofessional conduct; (2) A HCFA contractor for research, evaluation, or epidemiological project related to the prevention of disease or disebility, or the restoration or maintenance of health if HCFA.

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research of health nature for retaining such information, and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA,

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(3) HCFA health insurance program review teams; (4) a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; (5) in the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained on magnetic tape, microfilm, and hard copy paper.

Retrievability: The records are indexed for individual identification by clinic physician provider numbers and supplier EIN (employer's identification number). The records are prepared and updated daily by carriers as a basis for determining reasonable charges and area prevailing charges.

Safeguards: Disclosure of records to carrier personnel is limited to a need-to-know basis. The files are closed to unauthorized personnel. The determination as to which personnel are authorized will vary slightly in different carrier installations. All carriers have guards at the building entrance to prevent intrusion by individuals not employees or not having business with the carrier. One of more of the following security measures are used within the building: Color coded identification cards are used to establish the right of an employee to be in a specific area; cipher locks are used to protect files and computer areas; magnetic identification cards are used to gain access to security sensitive areas; videomonitoring or sensitive areas is constant.

Retention and disposal: Records are closed out the first quarter following the close of the previous year. Files are retained indefinitely.

System manager(s) and address: Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

Notification procedure: Inquiries and requests for records information should be directed to the carrier servicing the clinic physician's or supplier's geographical area. Individuals who want to determine if they have a record in this system must provide their full name and address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2).)

Contesting record procedures: Contact the official at the address specified under System Manager above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations, 45 CFR Section 5b.7.)

Record source categories: Information contained in these records is furnished in part by the individual clinic physician or supplier and in part abstracted from Medicare part B billing records.

Systems exempted from certain provisions of the act: None.

09–70–0520

System name: End Stage Renal Disease (ESRD) Program Management and Medical Information System (Registry) HHS, HCFA, BPP.

Security classification: None.

System location: Health Care Financing Administration, Bureau of Support Services, Office of Administrative Systems, Division of Program Management, Systems, ESRD System Branch, 6325 Security Boulevard, Baltimore, Maryland 21207.

Categories of individuals covered by the system: Persons with end-stage renal disease who receive Medicare benefits.

Categories of records in the system: Health and medical record data; Medicare billing information including charges and amounts reimbursed; physician characteristics; demographic data on beneficiaries; survival characteristics on some successful transplant patients beyond the entitlement period; ESRD facility approval data; ESRD facility demographic characteristics; ESRD facility cost information; and ESRD facility treatment surveys.

Authority for maintenance of the system: Sections 226A, 1875, and 1881 of the Social Security Act (42 U.S.C. 426–1, 1395ll, and 1395rr.).

Purpose(s):

To meet and operationalize statutory requirements, of Sec. 2991, P.L. 92–603; to support State and local ESRD programs and legislative requirements; and to support Federal research and public service programs and effective State, local and other planning activities.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to: (1) A congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

(2) To organizations deemed qualified by the Health Care Financing Administration to carry out quality assessment, medical audits of utlization review.

(3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(4) A record from this system of records may be disclosed as a "routine use" to a recipient for a research purpose, if the Department:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the research purpose for which the disclosure is to be made—(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

c. requires the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the

earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

d. secures a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Electronic medium; selected hard copy backup, and microfilm.

Retrievability: Data indexed by Health Insurance Claim number, patient name and facility number. Individual patient and statistical data provided to Health Care Financing Administration, the National Institutes of Health and local Medical Review Boards, statistical data provided to other governmental units and the general public.

Safeguards: Restricted access to all areas where data are maintained and processed, hard copy data stored in locked files in secured area, terminal access controled by user ID and keywords. Access to personal data restricted to those authorized to work with those data. For computerized records, safeguards established in accordance with DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Hard copy destroyed after 1 year by shredding; all other information maintained indefinitely.

System manager(s) and address: Director, Bureau of Program Policy, HCFA, Office of End Stage Renal Disease, 6325 Security Boulevard, Baltimore, Maryland 21207

Notification procedure: Same as system manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6).)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Section 5b.5(a)(2).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Applications for Medicare, ESRD benefits, patient records at ESRD treatment facilities, Health Care Financing Administration Medicare Master Files, aggregate ESRD facility treatment surveys; ESRD facility cost information; and ESRD facility approval characteristics.

Systems exempted from certain provisions of the act: None.

09–70–0521

System name: Medicare Beneficiary Claims for Emergency Services HHS, HCFA, BPO

Security classification: None.

System location: Health Care Financing Administration Regional Offices (see Appendix C, Section 2.)

Categories of individuals covered by the system: Medicare beneficiaries who file for Medicare Part A emergency claim reconsideration desiring coverage of nonparticipating hospital charges.

Categories of records in the system: Medical information and associated charge data.

Authority for maintenance of the system: Social Security Act Sections 1814 (d) and (f), 42 U.S.C. 1395f (d) and (f).

Purpose(s):

To determine whether services were medically necessary or an emergency basis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made: (1) in the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice, (2) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual, (3) in the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, log book-in emergency claims file drawers.

Retrievability:

The system is indexed by health insurance claim number.

Safeguards:

Records are in locked file drawers. Personnel are instructed on information confidentiality. Access to claim folders restricted to authorized personnel.

Retention and disposal:

Number of years held at HCFA; information file folders are held one week to six months before being returned to originating source. Other records kept indefinitely. Number of years held at Federal Records Center before disposal: not applicable.

System manager(s) and address:

Health Care Financing Administration Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Md. 21207

Notification procedure:

Same as system manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR, Section 5b.6).)

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories:

Medicare claims forms and supporting information; portions of medical records from nonparticipating hospitals; other pertinent medical and emergency room records; physician statements; statements of HHS personnel authorized to handle the claims; information and requests from representatives of the beneficiaries for reconsideration of claims decisions.

Systems exempted from certain provisions of the act:

None.

09–70–0522

System name:

Billing and Collection Master Record System HHS/HCFA/BPO.

Security classification: None.

System location:

Bureau of Program Operations, HCFA, 6325 Security Blvd., Baltimore, Maryland 21207

Bureau of Support Services, HCFA, 6325 Security Blvd., Baltimore, Maryland 21207

Office of User Requirements and Validations, SSA, 6325 Security Blvd., Baltimore, Maryland 21207

Social Security Administration Program Service Centers

Division of International Operations (see Appendices A and B at the end of the notices for the Social Security Administration)

Categories of individuals covered by the system:

This system contains records of all retirement, survivors, disability, or health insurance beneficiaries entitled to hospital insurance and/or supplementary medical insurance who are, or have been, subject to direct billing for insurance premiums. This includes individuals who: (1) are currently being billed directly for insurance premiums; and (2) are not currently in direct billing status but have either a premium arrearage (or overpayment) of record or were at one time in direct billing status. It does not contain a record of any hospital or supple-

mentary medical insurance enrollee who has had premiums deducted from monthly benefits or paid through a third party payer arrangement continuously from the initial month of entitlement.

Categories of records in the system:

It contains identifying information as well as information regarding entitlement to hospital or supplementary medical insurance, current address information, individual records of premium, payments, premium adjustments, refunds of excess payments, and current amounts due.

Authority for maintenance of the system: Sections 1840(e) and 1871 of the Social Security Act. (42 U.S.C. 1395s(e) and 1395hh)

Purpose(s):

To provide a master record of billing and collection for all retirement, survivors, disability, and health insurance beneficiaries entitled to hospital insurance and/or supplementary medical insurance who are, or have been, subject to direct billing for Medicare insurance premiums. Monthly record updates are provided to the Social Security Administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made: (1) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

3. To a "lock box" contractor. An extract of this file (name, address, claim numbers, premium liability, period of liability, and termination date, when necessary) will be provided in order to (a) print and release the Medicare premium bills, (b) process the returned remittance in a secure "lock box" operation, and (c) prepare a transaction tape for transmission to HCFA. ("Lock box" is a remittance process performed under security to assure non-access to remittance information by unauthorized personnel or the public.)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Primary record storage is by magnetic tape and disk. Monthly updates of the record are also provided to the Social Security Administration program service centers, the Division of International Operations, Bureau of Retirement and Survivors Insurance, and the Division of Benefit Payments, Bureau of Disability Insurance in microform records.

Retrievability: Magnetic tape, disk and microform records are indexed by social security number, or claim account numbers, it is used to: (1) generate monthly and quarterly premium billing notices; (2) record and process premium payments and adjustments; (3) refund excess premium payments; (4) terminate hospital and/or supplementary medical insurance coverage for non-payment of premiums; (5) reverse termination actions; (6) maintain a history of premium payments, adjustments, or other events which alter the billing status; and (7) provide up-to-date premium and billing information to Health Care Financing Administration and Social Security Administration clerical and electronic operations. Information is used to respond to specific beneficiary inquiries or to facilitate the proper adjustment of social security benefit payments. Information is also accessed electronically by social security benefit programs for the proper adjustment of payment amounts.

Safeguards: Magnetic tape, and disk records are protected through standard security measures used for all of Social Security Administration's computer records: microform records are subject to the same rules and security as all other information in Social Security Administration relating to claims and beneficiary records: limited access to Social Security Administration offices; limited employee access to need to know.

Retention and disposal: Microfilm and tape records can routinely be sent to the Federal Records Center after 2 years. However, since this record is updated monthly, even though the physical records are released to the Federal Records Center, current record will contain full history of all transactions. An inactive tape file, i.e., a file containing the records of cases where the enrollee has died, been in payment status for 2 or more years, etc., is maintained in each program service center. This file currently has no disposal schedule.

System manager(s) and address: Director, Bureau of Program Operations, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207

Notification procedure: In order to ascertain whether or not this system contains information about him/her, an individual should contact the most convenient social security office and provide health insurance claim number as shown on Medicare health insurance card.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with DHHS Regulations, 45 CFR 5b.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. These procedures are in accordance with DHHS Regulations, 45 CFR 5b.

Record source categories: The identification and entitlement/termination information for this system is extracted from Social Security Administration's Master Beneficiary Record. All other information is complied from the individual's premium billing and payment histories.

Systems exempted from certain provisions of the act: None.

09–70–1504

System name: Physical Therapists Proficiency Answer Sheets and Test Results (Medicare) HHS/HCFA/HSQB.

Security classification: None.

System location: Test Results: Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207 and Regional Federal Records Center.

Answer Sheets: Psychological Corporation, 757 3rd Avenue, New York, N.Y. 10017.

Categories of individuals covered by the system: Physical Therapists.

Categories of records in the system: Answer Sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a–2).

Purpose(s):

Upon written request, to reissue a new card to those who pass the physical therapist proficiency test, for reasons such as change of name or loss of a card, or to provide information to examinees concerning their test results.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Answer sheets are used to score results of the examination and if applicable to revalidate results. Lists showing by States the names and addresses of individuals who passed or failed are sent to Regional Health Care Financing Administrators. HCFA Regional Offices. They are instructed to make the lists available to the appropriate State Health Department (2) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. (3) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer generated listings are filed by discipline, by State, in file folders.

Retrievability: Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet, in a secured building. For computerized records, safeguards are established in accordance with Department guidelines in the DHHS ADP System Manual, Part 6, "ADP Systems Security," (e.g., security codes) and will be used limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1981. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by incineration or shredding. Answer sheets are retained until completion of contract and then destroyed.

System manager(s) and address: Health Care Financing Administration, Director, Health Standards and Quality Bureau, Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207.

Notification procedure: Same as system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Scored Examinations.

Systems exempted from certain provisions of the act: None.

09–70–1505

System name: Psychiatric Technician Proficiency Answer Sheets and Test Results (Medicare) HHS/HCFA, HSQB

Security classification: None.

System location: Test Results: Health Standards and Quality Bureau., HCFA, Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207 and Regional Federal Records Center.

Answer Sheets: National League of Nursing, 10 Columbus Circle, New York, N.Y. 10019.

Categories of individuals covered by the system: Psychiatric technicians.

Categories of records in the system: Answer sheets Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a–2).

Purpose(s):

Upon written request, to reissue a new card to those who pass the psychiatric technician proficiency test, for reasons such as change of name or loss of a card, and to provide information to examinees concerning their test results.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Lists showing by States the names and addresses of individuals who passed or failed are sent to Director, Health Standards Quality Bureau. They are instructed to make the lists available to the appropriate State Health Department. (2) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. (3) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer generated listings are filed by discipline, by State, in file folders.

Retrievability: Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet in a secured building. For computerized records, safeguards established in accordance with DDHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g., security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1981. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by incineration or shredding.

System manager(s) and address: Health Care Financing Administration, Director, Health Standards and Quality Bureau, Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207.

Notification procedure: Same as system manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record content being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories: Scored Examinations.

Systems exempted from certain provisions of the act: None.

09–70–1507

System name: Waivered Licensed Practical Nurse Proficiency Exam Answer Sheets and Test Results (Medicare) HHS/HCFA/HSQB.

Security classification: None.

System location: Test Results: Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207 and Regional Federal Records Center.

Answer Sheets: National League of Nursing, 10 Columbus Circle, New York, NY 10019.

Categories of individuals covered by the system: Licensed Practical Nurses.

Categories of records in the system: Answer sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a–2).

Purpose(s):

These answer sheets indicate examination results and the lists indicate only pass or fail, and are used to advise an individual concerning his or her test results, upon written request.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Uses—Answer sheets are used to score results of the examination and if applicable to revalidate results. Lists showing by States the names and addresses of individuals who passed or failed are sent to the Regional Health Care Financing Administrators, HCFA, Regional Offices. They are instructed to make the lists available to the appropriate State health Department. (2) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice. (3) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer generated listings are filed by discipline, by State, in file folders.

Retrievability: Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet, in a secured building. For computerized records, safeguards established in accordance with DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Lists are to be retained through FY 1981. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy them by incineration or shredding. Answer sheets are retained until completion of contract and then destroyed.

System manager(s) and address: Health Care Financing Administration, Director, Health Standards and Quality Bureau, Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207.

Notification procedure: Same as system manager.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2).)

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7).

Record source categories: Scored examinations.

Systems exempted from certain provisions of the act: None.

09–70–1509

System name: Complaint Files on Nursing Homes HHS/HCFA/HSQB/DLT.

Security classification: None.

System location:

Boston:I20

Health Standards and Quality Division, HCFA HHS Region I, Room 1301, John F. Kennedy Federal Office Building, Boston, Massachusetts 02203

New York:

Health Standards and Quality Division, HCFA HHS Region II, Room 3821, 26 Federal Plaza, New York, New York 10007

Philadelphia:

Health Standards and Quality Division, HCFA HHS Region III, P.O. Box 8450, 3535 Market Street, Philadelphia, Pennsylvania 19101

Atlanta:

Health Standards and Quality Division, HCFA HHS Region IV, Room 523, 101 Marietta Tower, Atlanta, Georgia 30323

Chicago:

Health Standards and Quality Division, HCFA HHS Region V, 175 West Jackson, Room 941, Chicago, Illinois 60604

Dallas:

Health Standards and Quality Division, HCFA HHS Region VI, 23rd Floor, 1200 Main Tower Building, Dallas, Texas 75202

Kansas City:

Health Standards and Quality Division, HCFA HHS Region VII, 601 East 12th Street, Kansas City, Missouri 64106

Denver:

Health Standards and Quality Division, HCFA HHS Region VIII, 1961 Stout Street, Room 581, Denver, Colorado 80294

San Francisco:

Health Standards and Quality Division, HCFA HHS Region IX, 21st Floor, 100 Van Ness Avenue, San Francisco, California 94102

Seattle:

Health Standards and Quality Division, HCFA HHS Region X, Arcade Plaza, 1321 Second Avenue, Mail Stop 701, Seattle, Washington 98101

Categories of individuals covered by the system:

Persons who make complaints on nursing homes certified under Titles XVIII (Medicare) and XIX (Medicaid) of the Social Security Act.

Categories of records in the system:

Correspondence from complainant, copies of HHS response, or notation of referral to relevent State agency.

Authority for maintenance of the system:

Sections 1861(j), 1864, and 1866 of Title XVIII and sections 1902(a)(9), (26), (28), and (33) of Title XIX of the Social Security Act. (42 U.S.C. 1395x(j), 1395aa, 1395cc, and 1396a(a)(9), (26), (28), and (33))

Purpose(s):

To maintain a file that documents action taken with respect to each complaint received.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files.

Retrievability:

Indexed alphabetically by name of complainant. Used by staff of the Office of Long Term Care Standards and Enforcement to answer correspondence, to check on complaints, and to initiate corrective action as necessary. Statistical information submitted to HCFA, Baltimore.

Safeguards:

Authorized personnel only.

Retention and disposal:

Retained two years or until complaint file closed, whichever is longer. Destroyed by shredding or incinerating.

System manager(s) and address:

Health Care Financing Administration Director, Division of Long Term Care, Office of Standards and Certification, HSQB, 6325 Security Boulevard, Baltimore, MD 21207.

Notification procedure:

Same as above. Individual should contact Regional Office serving State in which nursing home about which a complaint was filed is located.

Record access procedures:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

Contesting record procedures:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

Record source categories:

Letters from complainants, state agencies handling follow-up, staff investigative reports on nursing home.

Systems exempted from certain provisions of the act: None.

09-70-1510

System name:

Professional Qualification Files. HHS/HCFA/HSQB.

Security classification:

None.

System location:

(1) HCFA Regional Directors (See Appendix C, Sect. 2).

(2) The State Agencies listed below for the indicated file categories:

Bureau of Licensing and Certification, 654 State Office Building, Montgomery, AL 36130 (1)(2)(9).

Department of Health and Social Services, Pouch H, Space H 06-G, Juneau, AK 99811 (1)(2).

LBJ Tropical Medical Center, Government of American Samoa, Pago Pago, American Samoa 96799 (1).

Department of Health Services, 1740 West Adams, Phoenix, AZ 85007 (1)(2)(3).

Hospital Division, Department of Health, 4815 West Markham, Little Rock, AR 72201 (1)(2).

Department of Health, 714 P Street, Sacramento, CA 95814 (1)(3).

Colorado Department of Health, 5210 East 11th Street, Denver, CO 80220 (1)(2)(11).

State Department of Health, 79 Elm Street, Hartford, CT 06115 (1)(16).

Division of Public Health, 3000 Newport Gap Pike, Wilmington, Delaware 19808 (1)(2)(3).

Department of Health and Rehabilitative Services, P.O. Box 210, Jacksonville, FL 32231 (1)(3).

Standards License Unit, 618 Ponce de Leon Avenue, NE., Atlanta, GA 30308 (1)(2)(3)(8).

Department of Health and Social Services, P.O. Box 2816, Agana, Guam 96910 (1).

State Department of Health, P.O. Box 3378, Honolulu, HI 96801 (1)(3)(4).

Department of Health and Welfare, 700 W. State Street, Boise, ID 83720 (1)(2).

Office of Health Facilities and Quality of Care, 525 West Jefferson Street, Springfield, IL 62761 (1)(2).

Indiana State Board of Health, 1330 West Michigan, Indianapolis, IN 46206 (1)(2).

Health Facilities Licensure Program, State Department of Health, Lucas State Office Building, Des Moines, IA 50319 (1)(2)(3)(4).

State Department of Health and Environment, Building 740, Forbes Air Station, Topeka, KS 66620 (1)(2).
Division for Licensing and Regulation, 275 East Main Street, D.H.R. Building, Frankfort, KY 40601.
Louisiana Health and Human Resources Administration, P.O. Box 3767, Baton Rouge, LA 70821 (1)(2)(3).
Department of Human Services, 99 Western Avenue, Augusta, ME 04333 (1)(2)(3).
District Health Officer, Arman Ishoda Hospital, Majuro, Marshall Islands 96960 (1).
Department of Public Health, 80 Boylston Street, Boston, MA 02116 (1)(2).
Division of Health Facility Standards and Licensing, Department of Public Health, 3500 North Logan, Lansing, MI 48914 (1)(3).
Health Systems Division, Minnesota Department of Health, 717 Delaware Street SE., Minneapolis, MN 55440 (1)(2)(3).
State Board of Health, Box 1700, Jackson, MS 39205.
State Division of Health, Broadway, State Office Building, P.O. Box 570, Jefferson City, MO 85102 (1)(3).
Department of Health and Environmental Services, Cogswell Building, Helena, MT 59601 (1)(2)(4) (5) (6) (7) (8) (9) (12) (13) (14).
State Health Department, 301 Centennial Mall South, P.O. Box 95007, Lincoln, NE 68509 (1) (2).
Bureau of Health Facilities, 505 East King Street, Carson City, NV 89710 (1) (2) (3) (5).
Division of Public Health Services, 61 South Spring Street, Concord, NH 03055 (1) (2) (3).
Department of Health, American Bridge Building, 501 John Fitch, Trenton, NJ 08611. (2).
Federal Program Certification Section, P.O. Box 2348, State Securities Building, Santa Fe, NM 87501 (1)(2)(3).
Department of Health, Tower Building, Empire State Tower Building, Albany, NY 12237 (1) (3).
Division of Facility Services, Licensure and Certification Section, P.O. Box 12200, Raleigh, NC 27607.
State Department of Health, 1200 Missouri Avenue, Room 302, Bismarck, ND 53505 (1) (2) (9).
Department of Health, 246 N. High Street, Columbus, OH 43215 (1) (2).
Health Facilities Service, Department of Health, Northeast 10th and Stonewall Street, P.O. Box 53551, Oklahoma City, OK 73152 (1) (2) (3).
Office of Health Facilities Services, Department of Human Resources, P.O. Box 231, Portland, OR 97207 (1) (2).
Office of Quality Assurance, PA Department of Health, P.O. Box 80, Harrisburg, PA 17120.
Office of Certification and Licensure of Health Facilities, Road No. 2, Bay Amon, PR 00619 (3).
Division of Licensure and Construction, Department of Health, 75 Davis Street, Providence, RI 02908 (1) (2) (3) (7) (8) (10) (14).
Bureau of Health Licensing and Certification, Department of Health and Environmental Control, J Marion Sims Building, 26 O Bull Street, Columbia, SC 29201 (1) (2) (3) (7) (8) (10) (14).
Resource Development Program, South Dakota Health Department, Joe Foss Building, Pierre, South Dakota 57501.
Office of Quality Assurance, 490 Capitol Hill Building, Nashville, TN 37219.
State Department of Health, 1100 West 49th Street, Austin, TX 78756 (1) (2) (3).
Division of Health, Medical Care and Facilities Branch, 150 W. North Temple, P.O. Box 2500, 44 Medical Drive, Salt Lake City, UT 84110 (1) (2) (4) (5) (6) (7) (8) (9) (14) (15).
Department of Health, 115 Colchester Avenue, Burlington, VT 0401 (1) (2) (4) (5) (6) (7) (8) (9).
Department of Health, James Madison Building, 109 Governor Street, Richmond, VA 23219 (1) (2) (3).
Mail Stop LJ-11, Olympia, WA 98504 (3).
Health Facilities Evaluation Program, 1800 Washington Street, Charleston, WV 25305 (1) (2).
Bureau of Quality Compliance, One West Wilson Street, Madison, WI 53702 (1)(2).

Categories of individuals covered by the system: Certain professional individuals who are employed in hospitals and clinical laboratories, or who are self-employed providing therapy and medical services who have taken proficiency examinations.

Categories of records in the system: The system contains information on the academic and experience qualifications and social security numbers of individuals working in hospitals or clinical laboratories; the names, addresses, and license numbers of professional self-employed persons providing therapy and other medical services and their eligibility to participate in the Medicare program; whether individuals who took proficiency examinations have passed or failed. Records maintained differ from State to State. The State agencies listed under System Location are followed by numbers indicating which of the following categories are recorded.

Physical Therapists (1).
Chiropractor (2).
Laboratory Personnel (3).
Licensed Practical Nurse (4).
Licensed Administrators (5).
Registered Nurses (6).
Occupational Therapists (7).
Dieticians (8).
Consultant Physicians (9).
Pharmacists (10).
Clinical Psychologists (11).
Audiologists (12).
Speech Pathologists (13).
Social Work Consultants (14).
Dentists (15).
Portable X-Ray Providers (16).

Authority for maintenance of the system: Social Security Act, Section 1123 (42 USC 1320a-2)

Purpose(s):

To maintain a file containing academic and experience of professional medical personnel to assure that qualifications are adequate for providing Medicare services.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) A HCFA contractor for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. determines that the purpose for which the disclosure is to be made:

(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is resonable probability that the objective for the use would be accomplished;

c. requires the information recipient to:

(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) make no further use or disclosure of the record except:

(a) in emergency circumstances affecting the health or safety of any individual,

(b) for use in another research project, under these same conditions, and with written authorization of HCFA,

(c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) when required by law;

d. secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(2) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(3) To State officials and employees to the extent necessary or appropriate to carry out their functions under agreements with the Health Care Financing Administration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records maintained on paper files in metal filing cabinets.

Retrievability: System is indexed by name of individual, listed alphabetically.

Safeguards: Disclosure of records is limited to State agency and Medicare personnel on a need-to-know basis. The files are closed to unauthorized personnel. File cabinets where records are stored are

locked when not in use and at close of business. Keys are kept by authorized personnel only.

Retention and disposal: Records are maintained for 5 years after becoming inactive, and are then destroyed.

System manager(s) and address: Health Care Financing Administration, Director, Health Standards and Quality Bureau, Dogwood East Building, 6325 Security Boulevard, Baltimore, Marylsnd 21207.

Notification procedure: Inquiries and requests for records should be directed to the HCFA Regional Director (See Appendix C. Section 2) or the appropriate State agency (See System Location). The individual should furnish his or her name, address, social security number, and the specific category file he or she wishes to access. Information on the procedures for gaining access to and contesting records may be obtained from the HCFA Regional Director. These notification procedures are in accordance with HHS Regulations (45 CFR 5b.5).

Record access procedures: Same as notification procedures. (These access procedures are in accordance with the Department Regulations (45 CFR, Section 5b.5(a)(2).))

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonbly identify the record and specify the information to be contested. (These procedures are in accordance with the Department Regulations (45 CFR, Section 5b.7).)

Record source categories:

The information contained in these records is furnished by the individual or his or her employing entity (hospital or medical clinic).

Systems exempted from certain provisions of the act:

None.

09-70-2002

System name:

HCFA Program Integrity/Program Validation Case Files HHS/HCFA/BQC.

Security classification:

None.

System location:

HCFA Bureau of Quality Control, Office of Program Validation, 6325 Security Boulevard, Baltimore, Md. 21207, or HCFA Regional Office locations (see Appendix C, Section 2), and Federal Records Centers.

Categories of individuals covered by the system:

Persons or entities alleged to have violated the provisions of the Social Security Act related to the Medicare (title XVIII) or Medicaid (title XIX) program or other criminal statutes as they pertain to Social Security Act programs where substantial basis for criminal prosecution exists, defendants in criminal prosecution cases, or persons or entities alleged to have abused the Medicare or Medicaid program. This last category of individuals would, for example, include persons or entities alleged to have rendered unnecessary services to medicare beneficiaries and/or Medicaid recipients, overutilized services, engaged in improper billing procedures, or breached the assignment agreement. Also included are persons or entities chosen as subjects of a validation review.

Categories of records in the system:

Information maintained in each record includes the identity of individual(s) chosen for validation review or the suspect of an integrity review, the area of service under validation study or the nature of the alleged offense, documentation of the investigation into the alleged offense (including identification of beneficiaries recipients and witnesses, statements, medical records, payment records, or complaints from beneficiaries recipients and others, correspondence and forms, documentation of complaints, and reports of medical review committees or consultants (including professional standards review organizations)), and the disposition of the case by the Office of Program Validation or the HCFA Regional Office, Office of the Inspector General, Medicaid State agency or State Medicaid Fraud Control Unit, or the U.S. Attorney.

Authority for maintenance of the system:

Sections 205, 1106, 1107, 1815, 1816, 1833, 1842, 1872, 1874, 1876, 1877, and 1902 of the Social Security Act. (42 U.S.C. 405, 1306, 1307, 1395g, 1395h, 1395l, 1395u, 1395ii, 1395kk, 1395mm, 1395nn, and 1396a)

Purpose(s):

To determine if a violation of a provision of the Social Security Act or a related penal or civil provision of the United States Code has been committed; to determine if HHS has made proper payments as prescribed under sections 1815 and 1833 of the Social Security Act and whether the Medicare or Medicaid programs have been abused; and to coordinate title XVIII and title XIX investigations and prevent duplication. HCFA discloses case file material to the HHS Office of the Inspector General when a case is referred for full fraud investigation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

HCFA uses material in this system as the basis for referral of the case to the HHS Office of the Inspector General or the (1) Department of Justice for consideration of criminal prosecution or civil action or to (2) State or local licensing authorities (including State medical review boards), professional standards review organizations, peer review groups, medical consultants, or other professional associations for possible administrative action.

(3) HCFA discloses such information to officers or employees of State governments as well as the civilian health and medical program of the Uniformed Services (CHAMPUS) program for use in conducting or directing investigations of possible fraud or abuse against the title XVIII, XIX, or CHAMPUS programs, as well as State attorneys in connection with State programs involving the Health Care Financing Administration.

(4) HCFA also uses the material to determine the direction of investigation of potential fraud or abuse situations, which includes contact with third parties for the purpose of establishing or negating a violation. (5) HCFA discloses cases involving fraudulent tax returns or forgery of Medicare checks to the (a) Treasury Department, (b) to the postal authorities, and to appropriate law enforcement agencies. (6) HCFA may make disclosures to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual.

(7) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files maintained in locked file cabinets.

Retrievability:

The staff indexes and retrieves records by case number or by the name of the subject of the investigation.

Safeguards:

The system is maintained in accordance with the requirements of the DHHS ADP Systems Manual, Part 6, "Systems Security." HCFA keeps the file cabinets locked in a room that is locked after office hours. No one has access to the files except Office of Program Validation and HCFA Regional Office staff or other authorized personnel on a need to know basis.

Retention and disposal:

HCFA places the records in an inactive file after final action on the case. It closes out the inactive file at the end of the calendar year in which final action was taken, holds it 2 additional years, transfers it to the Federal Records Center, who destroys it after 3 additional years.

System manager(s) and address:

Director, Bureau of Quality Control, Office of Program Validation HCFA, 6325 Security Boulevard, Baltimore, Md. 21207 or HCFA Regional Office Locations (see Appendix C, Section 2).

Notification procedure:

An individual can determine if this system contains a record pertaining to an active abuse investigation or a closed fraud or abuse investigation of which the individual is/was a subject by requesting such information in writing. He or she should direct inquires to HCFA, Bureau of Quality Control, Office of Program Validation; 6325 Security Boulevard, Baltimore, Md 21207 or the appropriate HCFA Regional Office (see app. C.2).

Under 5 U.S.C. 552a(k)(2), case files on active fraud investigations are exempt from notification procedures. Therefore, an individual

cannot determine if this system contains a record pertaining to an active fraud investigation of which the individual is a subject.

An individual who requests notification of or access to a medical record shall, at the time he makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

These notification procedures are in accordance with Department regulations (45 CFR, Sec. 5b.5).

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents they seek. As with the notification procedures above, case files on active fraud investigations are exempt from access by the individuals who are the subjects of the investigations pursuant to 5 U.S.C. 552a(k)(2). However, access to information which is a matter of public record or documents which the individual furnished will be permitted. These access procedures are in accordance with Department regulations (45 CFR, sec. 5b.5(a)(2).)

Contesting record procedures: Contact the appropriate official at the address specified under notification procedures above, reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department regulations—45 CFR, sec. 5b.7).

Record source categories: The information contained in this record systems is the result of a criminal or program abuse investigation and may be derived from such sources as the suspect, beneficiaries, witnesses, professional standards review organizations, professional or peer review committees, medical consultants, title XIX State agencies or State Medicaid Fraud Control Units, Social Security Administration, Health Care Financing Administration, carrier or intermediary employees with a knowledge of the case.

Systems exempted from certain provisions of the act: HHS claims exemption of certain records (case files on active fraud investigations) in this system from the notification and access procedures under 5 U.S.C. 522a(k)(2) inasmuch as these records are investigatory materials compiled for program (law) enforcement in anticipation of a criminal or administrative proceeding. (See Department Regulations (45 CFR, section 5b.11))

Appendix C. Health Insurance Claims

Medicare records are maintained at the HCFA Central Office (see section 1 below for the address). Health insurance records of the Medicare program can also be accessed through a representative of the HCFA Regional Office (see section 2 below for addresses). Medicare claims records are also maintained by private insurance organizations who share in administering provisions of the health insurance program. These private insurance organizations, referred to as carriers and intermediaries, are under contact to the Health Care Financing Administration and the Social Security Administration to perform specific tasks in the Medicare program. See section 3 below for addresses for intermediaries and section 4 addresses for carriers.

1. Central Office Addresses:

Bureau of Program Operations, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207. Office Hours: 8:15–4:45

Bureau of Support Services, HCFA, Office of Direct Reimbursement, Room 1705, Equitable Building 6325 Security Boulevard, Baltimore, Maryland 21207. Office Hours: 8:15–4:45

2. HCFA Regional Office Addresses:

BOSTON REGION—Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont
John F. Kennedy Federal Building, Room 1211; Bostom, Massachusetts 02203. Office Hours: 8:30–5:00

NEW YORK REGION—New Jersey, New York, Puerto Rico, Virgin Islands
26 Federal Plaza—Room 715, New York, New York 10007. Office Hours: 8:30–5:00

PHILADELPHIA REGION—Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia
P.O. Box 8460, Philadelphia, Pennsylvania 19101. Office Hours: 8:30–5:00

ATLANTA REGION—Alabama, North Carolina, South Carolina, Florida, Georgia, Kentucky, Mississippi, Tennessee
101 Marietta Street, Suite 702, Altanta, Georgia 30223. Office Hours: 8:00–4:30

CHICAGO REGION—Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin
Suite A–824, Chicago, Illinois 60604. Office Hours: 8:15–4:45

DALLAS REGION—Arkansas, Louisiana, New Mexico, Oklahoma, Texas
1200 Main Tower Building, Dallas, Texas. Office Hours: 8:00–4:30

KANSAS CITY REGION—Iowa, Kansas, Missouri, Nebraska
New Federal Office Building, 601 East 12th Street—Room 436, Kansas City, Missouri 64106. Office Hours: 8:00–4:45

DENVER REGION—Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming
Federal Office Building, 1961 Stout St—Room 1185, Denver, Colorado 80294. Office Hours: 8:00–4:30

SAN FRANCISCO REGION—American Samoa, Arizona, California, Guam, Hawaii, Nevada
Federal Office Building, 10 Van Ness Avenue, 20th Floor, San Francisco, California 94102. Office Hours: 8:00–4:30

SEATTLE REGION—Alaska, Idaho, Oregon, Washington
1321 Second Avenue—Room 615, Mail Stop 211, Seattle, Washington 98101. Office Hours: 8:00–4:30

3. Intermediary Addresses (Hospital Insurance):

Medicare Coordinator, Blue Cross/Blue Shield of Alabama, 930 South 20th Street, Birmingham, Alabama 35298

Medicare Coordinator, Blue Cross of Arizona, Inc., P.O. Box 13466, 321 West Indian School Road, Phoenix, Arizona 85002

Medicare Coordinator, Arkansas Blue Cross/Blue Shield, P.O Box 1418, 601 Gains Street, Little Rock, Arkansas 72203

Medicare Claim Administrator, Aetna Life & Casualty, 2600 Wilshire Boulevard, Los Angeles, California 90057

Medicare Coordinator, Blue Cross of Southern California, P.O. Box 70000, Van Nuys, California 91470

Medicare Coordinator, Blue Cross of Northern California, 1950 Franklin Street, Oakland, California 94659

Medicare Coordinator, Kaiser Foundation Health Plan, Inc., 1956 Webster Street, Room 310A, Oakland, California 94612

Aetna Life & Casualty, Medicare Claim Administration, 97 San Marin Drive, Novato, California 94947

Medicare Coordinator, Colorado Hospital Service, 700 Broadway, Denver, Colorado 80203

Medicare Administrator, Aetna Life & Casualty, 151 Farmington Avenue, Hartford, Connecticut 06156

Medicare Coordinator, Connecticut Coordinator, 370 Bassett Rd., North Haven, Connecticut 06473

Administrator, Medicare Claims Office, Aetna Life & Casualty, P.O. Box 329, 270 Farmington Avenue, Building 4, 2nd Floor, Farmington, Connecticut 06032

Medicare Administrator, Travelers Ins. Co., One Tower Square, Hartford, Connecticut 06115

Connecticut General Life Ins. Co., Medicare Claim Office, 100 Barnes Road, North, Wallingford, Connecticut 06492

Triage, Inc., 719 Middle Street, Bristol, Connecticut 06019

Medicare Coordinator, Blue Cross/Blue Shield of Delaware, 201 West 14th Street, Wilmington, Delaware 19801

Medicare Coordinator, Group Hospitalization, Inc., 550 12th Street, S.W., Washington, D.C. 20024

Medicare Coordinator, Blue Cross of Florida, Inc., P.O. Box 2711, Jacksonville, Florida 32203

Medicare Claim Administrator, Aetna Life & Casualty, The Taylor Building, 121 North Osceola Avenue, Clearwater, Florida 33515

Medicare Coordinator, Blue Cross of Georgia/Columbus, P.O. Box 7368, 2357 Warm Springs Rd., Columbus, Georgia 31908

Medicare Coordinator, Blue Cross of Georgia/Atlanta, 3348 Peachtree St., N.E., P.O. Box 4445, Atlanta, Georgia 30326

Medicare Coordinator, Hawaii Medical Service Association, P.O. Box 860, 1504 Kapiolani Boulevard, Honolulu, Hawaii 96808

Medicare Coordinator, Blue Cross of Idaho, Inc., P.O. Box 7480, 1501 Federal Way, Boise, Idaho 83707

Medicare Coordinator, Health Care Service Corp., 233 North Michigan Avenue, Chicago, Illinois 60601

Medicare Claims Administration, Aetna Life & Casualty, P.O. Box 1702, Peoria, Illinois 61603

Medicare Coordinator, Mutual Hospital Insurance, Inc., 120 West Market Street, Indianapolis, Indiana 46204

Medicare Coordinator, Blue Cross of Iowa, Ruan Building, 636 Grant Avenue, Station 28, Des Moines, Iowa 50309

Medicare Coordinator, Blue Cross of Western Iowa and S. Dakota, Third and Pierce Street, Sioux City, Iowa 51102

Medicare Administrator, Kansas Hospital Service Association, Inc., 1133 Topeka Avenue, P.O. Box 239, Topeka, Kansas 66601

Medicare Coordinator, Blue Cross of Kentucky, Inc., 9901 Linn Station Road, Louisville, Kentucky 40223

Medicare Coordinator, Blue Cross of Louisiana, P.O. Box 15099, Baton Rouge, Louisiana 70815

Medicare Coordinator, Associated Hospital Service of Maine, 100 Free Street, Portland, Maine 04101

Medicare Coordinator, Maryand Blue Cross, Inc., 700 East Joppa Road, Baltimore, Maryland 21204

Medicare Claims Admin., Aetna Life & Casualty Co., 15 Midstate Drive, Auburn, Massachusetts 01501

Medicare Coordinator Part A, Blue Cross of Mass., Inc., 100 Summer Street, Boston, Massachusetts 02106

Medicare Coordinator, Blue Cross of Michigan, 600 Lafayette East, Detroit, Michigan 48226

Medicare Coordinator, Blue Cross of Minnesota, 3535 Blue Cross Road, St. Paul, Minnesota 55165

Medicare Coordinator, Blue Cross of Miss., P.O. Box 1043, Jackson, Mississippi 39205

Medicare Coordinator, Blue Cross of Kansas City, P.O. Box 169, Kansas City, Missouri 64141

Medicare Coordinator, Blue Cross Hospital Service of Missouri, 4444 Forest Park Boulevard, St. Louis, Missouri 63108

Medicare Coordinator, Blue Cross of Montana, P.O. Box 5004, Great Falls, Montana 59403

Medicare Coordinator, Mutual of Omaha Ins. Co., Box 456 Downtown Station, Omaha, Nebraska 68101

Medicare Coordinator, Blue Cross of Nebraska, P.O. Box 3248, Main Post Office Station, Omaha, Nebraska 68103

Medicare Claims Administrator, Aetna Life & Casualty, P.O. Box 7290, Reno, Nevada 89510

Medicare Coordinator, New Hampshire Vermont Hospital Service, 2 Pillsbury Street, Concord, New Hampshire 03301

Medicare Coordinator, Hospital Service Plan of New Jersey, 33 Washington Street, Newark, New Jersey 07102

Medicare Coordinator, Prudential Ins. Co. of America, P.O. Box 5000, Millville, New Jersey 08332

Medicare Coordinator, New Mexico Blue Cross Inc., 12800 Indian School Rd., N.E., Albuquerque, New Mexico 87112

Medicare Coordinator, Rochester Hospital Service Corp., 41 Chestnut Street, Rochester, New York 14604

Medicare Coordinator, Hospital Plan, Inc., 5 Hopper St., Utica, New York 13501

Medicare Coordinator, Blue Cross of Western New York, Inc., 298 Main Street, Blue Cross Building, Buffalo, New York 14202

Medicare Coordinator, Blue Cross of Central New York, Inc., 344 South Warren Street, Syracuse, New York 13202

Hospital Service Corp. of Jefferson County, 155 Stone Street, Watertown, New York 13602

Medicare Coordinator, B/C-B/S of Greater New York, 622 Third Avenue, New York, New York 10017

Chautauqua Region Hospital Service Corp., 306 Spring Street, Jamestown, New York 14701

Medicare Coordinator, Blue Cross of N.E. New York, Inc., P.O. Box 8650, Albany, New York 12208

Medicare Coordinator, North Carolina B/C-B/S, P.O. Box 3824, Durham, North Carolina 27702

Medicare Coordinator, Blue Cross of North Dakota, 301 Eighth St. South, Fargo, North Dakota 58102

Associated Hospital Service, Inc., 2400 Market Street, Youngstown, Ohio 44507

Medicare Coordinator, B/C of N.W. Ohio, P.O. Box 943, Toledo, Ohio 43601

Medicare Coordinator, B/C of N.E. Ohio, 2066 East Ninth Street, Cleveland, Ohio 44115

Medicare Coordinator, Hospital Care Corporation, 1351 William Howard Taft Road, Cincinnati, Ohio 45206

Medical Coordinator, Nationwide Mutual Insurance Co., P.O. Box 1625, Columbus, Ohio 43216

Medicare Coordinator, B/C of Central Ohio, P.O. Box 16526, Columbus, Ohio 43216

Medicare Coordinator, Blue Cross of Oklahoma, 1215 South Boulder, Tulsa, Oklahoma 74119

Medicare Coordinator, Northwest Hospital Service, P.O. Box 1271, Portland, Oregon 97207

Medicare Coordinator, Blue Cross of Greater Philadelphia, 1333 Chestnut Street, Philadelphia, Pennsylvania 19107

Medicare Coordinator, Blue Cross of Western Pennsylvania, One Smithfield Street, Pittsburgh, Pennsylvania 15222

Medicare Coordinator, B/C of N.E. Pennsylvania, 70 North Main Street, Wilkes-Barre, Pennsylvania 18711

Medicare Coordinator, Hospital Service Plan of Lehigh Valley, 1221 Hamilton Street, Allentown, Pennsylvania 18102

Medicare Coordinator, Capital Blue Cross, 100 Pine Street, Harrisburg, Pennsylvania 17101

Aetna Life & Casualty, Medicare Claim Administrator, 500 Office Center Building, P.O. Box 548, Fort Washington, Pennsylvania 19034

Cooperative de Seguros de Vida de Puerto Rico, G.P.O. Box 3428, San Juan, Puerto Rico 00936

Blue Cross of Rhode Island, 444 Westminster Mall, Providence, Rhode Island 02901

Medicare Coordinator, Blue Cross of S.C., Drawer F Forest Acres Branch, Columbia, South Carolina 29219

Medicare Coordinator, Memphis Hosp. Serv. and Surg. Assn., 85 Danny Thomas Blvd., Memphis, Tennessee 38101

Medicare Coordinator, Blue Cross of Tennessee, 801 Pine Street, Chattanooga, Tennessee 37402

Medicare Administrator, Aetna Life & Casualty, Union Square Building, 2670 Union Avenue, Suite 606, Memphis, Tennessee 38112

Medicare Coordinator, Group Hospital Service, Inc., P.O. Box 22146, Dallas, Texas 75222

Medicare Coordinator, B/C of Utah, P.O. Box 30269, Salt Lake City, Utah 84125

B/C-B/S of S.W. Virginia. P.O. Box 13047, 3959 Electric Rd., Roanoke, Virginia 24045

Medicare Coordinator, Blue Cross of Virginia, P.O. Box 27401, Richmond, Virginia 23261

Medicare Coordinator, B/C Washington/Alaska, Inc., 15700 Dayton Avenue, North, P.O. Box 327, Seattle, Washington 98111

Medicare Administration, Aetna Life and Casualty Co., P.O. Box C25902, Seattle, Washington 98125

Medicare Coordinator, Parkersburg Hosp. Serv., Inc., P.O. Box 1948, Parkersburg, West Virginia 26101

Medicare Coordinator, Blue Cross Hospital Service Inc., Commerce Square, P.O. Box 1353, Charleston, West Virginia 25325

Medicare Coordinator, West Virginia Hospital Service, Inc., 20th and Chapline Streets, Wheeling, West Virginia 26002

Medicare Coordinator, Assoc. Hosp. Serv., Inc., 401 W. Michigan Street, Milwaukee, Wisconsin 53201

Medicare Coordinator, Hospital Service of Wyoming, 4020 House Avenue, P.O. Box 2266, Cheyenne, Wyoming 82001

Health Care Financing Administration, Bureau of Program Operations, Group Health Plans, Operations Staff, 6325 Security Boulevard, Baltimore, Maryland 21207

Railroad Retirement Board, 844 Rush Street, Chicago, Illinois 60611

4. Carrier Addresses (Supplementary Medical Insurance)

Medicare Coordinator, Blue Cross Blue Shield of Alabama, 930 South 20th Street, Birmingham, Alabama 35205

Medicare Claim Administrator, Aetna Life & Casualty, 3010 West Fairmount Avenue, Phoenix, Arizona 85017

Vice President for Medicare and Medical Services, Arkansas Blue Cross/Blue Shield, 601 Games Street, Little Rock, Arkansas 72203

Medicare Coordinator, California Blue Shield, P.O. Box 7968, Rincon Annex, San Francisco, California 94120

Medicare Coordinator, Occidental Life Insurance Company of California, P.O. Box 54905 Terminal Annex, Los Angeles, California 90054

Assistant Vice President, Blue Shield of Colorado, 700 Broadway, Denver, Colorado 80203

Medicare Administrator, Travelers Ins. Co., One Tower Square, Hartford, Connecticut 06115

Medicare Administrator, Aetna Life & Casualty, 151 Farmington Avenue, Hartford, Connecticut 06115

Medicare Coordinator, Connecticut General Life Insurance Company, 200 Pratt Street, Meriden, Connecticut 06450

Medicare Coordinator, Blue Cross/Blue Shield of Delaware, 201 West 14th Street, Wilmington, Delaware 19899

Medicare Coordinator, Medical Service of D.C., 550 12th Street, SW., Washington D.C. 20024

Medicare Coordinator, Blue Cross of Florida, Inc., P.O. Box 1798, Jacksonville, Florida 32201

Group Health, Inc., 1320 South Dixie Highway, Coral Gables, Florida 33146

Medicare Administrator, Prudential Insurance Company of America, P.O. Box 95466, 57 Executive Park Station, Atlanta, Georgia 30347

Medicare Claim Administrator, Aetna Life & Casualty, 100 Bishop Street, P.O. Box 3947, Honolulu Hawaii 96812

Medicare, The Equitable Life Assurance Society, P.O. Box 8048, Hillcrest Plaza Shop, Boise, Idaho 83707

Continental Casualty Company, Medicare Benefits Division, P.O. Box 910, Chicago, Illinois 60690

Health Care Service Corporation, 233 North Michigan Avenue, Chicago, Illinois 60601

Assistant Vice President Medicare Dept., Blue Shield of Indiana, 120 West Market Street, Indianapolis, Indiana 46204

Assistant Executive Director, Blue Shield of Iowa, Ruan Building, 636 Grand Avenue, Station 28, Des Moines, Iowa 50307

Medicare Administrator, Kansas Medical Association, Inc., 1133 Topeka Blvd., P.O. Box 239, Topeka, Kansas 66601

Manager, Metropolitan Life Insurance Co., 1218 Harrodsburg Road, Suite 300, Lexington, Kentucky 40504

Manager, Medicare Liaison, Pan American Life Insurance Co., P.O. Box 60450, New Orleans, Louisiana 70160

Blue Shield of Massachusetts/Maine, Medicare Claims Office, 477 Congress Street, Portland, Maine 0411

Medicare Coordinator, Maryland Blue Shield, Inc., 700 E. Joppa Road, Baltimore, Maryland 21204

Medicare Coordinator Part B, Massachusetts Blue Shield, 100 Summer Street, Boston, Massachusetts 02106

Asst. Vice Pres. Govern. Aff. Dept., Michigan Medical Services, 600 Lafayette East, Detroit, Michigan 48236

Blue Cross/Blue Shield of Minn., 3535 Blue Cross Road, St. Paul, Minnesota 55165

Vice President Government Programs, Blue Shield of Kansas City, P.O. Box 169, Kansas City, Missouri 64141

Director, Medicare Administration, General American Life Ins. Corp., P.O. Box 505, St. Louis, Missouri 6366

Montana Physicians Service, 404 Fuller Avenue, P.O. Box 2510, Helena, Montana 59601

Assistant Vice President, Health Insurance Benefits, Mutual of Omaha Insurance Co., Box 456, Downtown Station, Omaha, Nebraska 68101

Medicare Claims Administrator, Aetna Life & Casualty, P.O. Box 7290, Reno, Nevada 89510

Medicare Coordinator, New Hampshire Vermont Phys. Serv., 2 Pillsbury St., Concord, New Hampshire 03301

Medicare Coordinator, Prudential Insurance Co., of America, P.O. Box 471, Millville, New Jersey 08332

Medicare, The Equitable Life Assurance Society, P.O. Box 3070, Station D, Albuquerque, New Mexico 87110

Director of Medicare Part B, Blue Shield of Western New York, Inc., 298 Main Street, Buffalo, New York 14202

Medicare Coordinator, Group Health Insurance, Inc., 326 West 42nd Street, New York, New York 10036

Medicare Coordinator, Genesee Valley Medical Care, Inc., 42 Chestnut Street, Rochester, New York 14604

Medicare Coordinator, Blue Cross/Blue Shield of Greater N.Y., 622 Third Avenue, New York, New York 10017

Medicare Coordinator, The Equitable Life Assurance Society, 1285 Avenue of the Americas, New York, New York 10019

Manager, Metropolitan Life Insurance Co., P.O. Box 393, 276 Genesee Street, Utica, New York 13503

Senior Vice President, Metropolitan Life Insurance Co., One Madison Avenue, New York, New York 10010

Medicare Coordinator, B Division, Prudential Life Insurance Company P.O. Box 2126, High Point, North Carolina 27261

Medicare Coordinator, Blue Shield of North Dakota, 301 South Eighth Street, Fargo, North Dakota 58102

Medicare System & Proc. Div., Nationwide Insurance Company, P.O. Box 57, Columbus, Ohio 43216

Department of Institutions, Social & Rehabilitative Services, Box 25352 State Capital Station, Oklahoma City, Oklahoma 73125

Medicare Claims Admin., Aetna Life & Casualty, Glenbrook Center, 1140 N.W. 63rd St., Oklahoma City, Oklahoma 73116

Medicare Claim Admin., Aetna Life & Causalty, 1500 S.W. First Avenue, Crown Plaza, Portland, Oregon 97201

Medicare Coordinator, Pennsylvania Blue Shield, Blue Shield Building, Camp Hill, Pennsylvania 17011

Chief, Internal Operations, Seguros de Servicio de Salud de Puerto Rico, Inc., G.P.O. Box 3628, San Juan, Puerto Rico 00936

Medicare Coordinator, R.I. Medical Society Physicians Serv., 444 Westminster Mall, Providence, Rhode Island 02901

Medicare Coordinator, Blue Cross/Blue Shield of S.C., Drawer F Forest Acres Branch, Columbia, South Carolina 29206

Assistant Executive Director, South Dakota Medical Service, Inc., 1601 West Madison, Sioux Falls, South Dakota 57104

The Equitable Life Assurance Society, P.O. Box 1465, Nashville, Tennessee 37202

Offices Services, Group Medical & Surgical Service, P.O. Box 22147, Dallas, Texas 75222

Manager, Part B, Blue Shield of Utah, P.O. Box 3270, 2455 Parleys Way, Salt Lake City, Utah 84125

Assistant Administrator, Washington Physicians Service, 4th and Battery Building—6th Floor, 2401 4th Avenue, Seattle, Washington 98121

Medicare Coordinator, Surgical Care, The Medical Society of Milwaukee County, 401 West Michigan Street, Milwaukee, Wisconsin 53203

Director, Medicare Claims Dept., Wisconsin Physicians Service, 330 E. Lakeside Street, P.O. Box 1109, Madison, Wisconsin 53701

Field Director, Equitable Life Assurance Society, P.O. Box 628, 102 Indian Hills Shopping Center, Cheyene, Wyoming 82001

Health Care Financing Administration, Bureau of Program Operations, Group Health Plans Operations Staff, 6325 Security Blvd., Baltimore, Maryland 21207

Director of Retirement Claims, U.S. Railroad Retirement Board, 844 Rush Street, Chicago, Illinois 60611

Office of the Assistant for Health
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09–37–0001

System name: Office of the Assistant Secretary for Health Correspondence Control System. HHS/OASH/OM.

Security classification: None.

System location: Publication Health Service Executive Secretariat, Room 17 B–03, 5600 Fishers Lane, Rockville, MD 20857

National Center for Health Statistics, Room 2–19, 3700 East-West Highway, Hyattsville, MD 20782

National Center for Health Services Research, Room 8–41, 3700 East-West Highway, Hyattsville, MD 20782

and

Federal Records Center, 4205 Suitland Road, Washington, D.C. 20409.

Categories of individuals covered by the system: Individuals who have contacted either the Assistant Secretary for Health, the Surgeon General, a Deputy Assistant Secretary, or a PHS Staff Office Director, or have been contacted in writing by one of these officials.

Categories of records in the system: Hard copies of the actual correspondence, and computer or word processor printout and tape or disk control system records of that correspondence.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s): To control and track all correspondence documents addressed or directed to the Assistant Secretary for Health or his subordinates as indicated above, as well as documents initiated by them, in order to assure timely and appropriate attention.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Correspondence records are maintained in hard copy. Control records are maintained on computer or word processor printout, tape, and disk.

Retrievability: Hard copy records are indexed alphabetically by name of addressee and date of outgoing correspondence; or by name of sender and date of incoming correspondence; or by subject. Records may also be cross-referenced.

Safeguards: Hard copy records are maintained in file cabinets that are lockable, or in rooms which are locked after office hours. During office hours, access to hard copy records is limited to authorized personnel. Access to the computerized subsystem is limited to specific individuals (correspondence assistants) through the use of passwords. These procedures are in accordance with chapter 45–13 in the Department's General Administration Manual, supplementary chapter PHS.hf: 45–13, and with Part 6 of the Department's ADP systems manual.

Retention and disposal: Records may be retired to a Federal Records Center and subsequentiy disposed of in accordance with the OASH records control schedule. The records control schedule may be obtained by writing to the appropriate System Manager at the address for that official which is indicated under system location above.

System manager(s) and address: Director, Public Health Service Executive Secretariat (address as above); Director, National Center for Health Statistics (address as above); Director, National Center for Health Services Research (address as above).

Policy coordination is provided by: Director, Office of Organization and Management Systems, Office of Management, Room 17–81, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: Inquiries should indicate the name of the individual with whom the Office of the Assistant Secretary for Health corresponded, the date of the incoming correspondence, if any, and the date of the outgoing correspondence. Inquiries should be addressed to the appropriate System Manager listed above, not to the policy coordination official.

Record access procedures: Same as notification procedures. Requesters must state that they are who they claim to be, and understand that obtaining information under false pretenses is subject to a maximum statutory penalty of 5,000.00 dollars.

Contesting record procedures: Contact the appropriate System Manager at the address for that official specified under System Location above, and reasonably identify the record, specify the information to be contested, the corrective action sought, and the reason for seeking the correction.

Record source categories: Records are derived from incoming correspondence to, and the outgoing correspondence of, the Assistant Secretary for Health or his subordinates as indicated above.

Systems exempted from certain provisions of the act: None.

09–37–0002

System name: PHS Commissioned Officer Personnel Data System. HHS/OASH/OM.

Security classification: None.

System location: Office of the Director, Commissioned Personnel Operations Division, Office of Personnel Management/OM/PHS, Room 4A–15, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857

and

General Service Administration, Federal Records Center, 111 Winnebago Street, St. Louis, MO 63118.

Categories of individuals covered by the system: Commissioned officers, former commissioned officers, dependents and survivors of the above, and applicants to the PHS Commissioned Corps.

Categories of records in the system: These records contain applications for appointment, references and other documents relating to qualifications or suitability for appointment and assignment, including medical intern and residency evaluations; Service Record Cards (summarizing personnel actions); efficiency and progress reports; career development and training records; documents relating to promotion, retention, separation, and other personnel actions; applications and records of Service action relating to pay, travel, and allowances (including overseas educational allowances for dependents); identification and privilege card records; applications and records of Service action relating to Commissioned Officer Residency Deferment Program and Commissioned Officer Student Training and Extern Programs; survivor benefits; selection system applications; non-board terminations and reprimands, after final administrative action; race/national origin data; medical data; leave records; awards and authorizations; Official Personnel Folders (OPF); and correspondence relating to the above.

Authority for maintenance of the system: 42 U.S.C. 202 et seq.; 42 U.S.C. 410(m) et seq.; and Executive Orders 9397 and 10450.

Purpose(s): The OPF and other general personnel records files are the official repository of the records, reports of personnel actions, and the documents and papers required in connection with these actions effected during an officer's service. The personnel orders and other documents, some of which are filed as permanent records in the OPF, given legal force and effect to personnel transactions and establish officer rights and benefits under the pertinent laws and regulations governing the Commissioned Corps personnel system.

The records provide the basic source of factual data about an officer's Federal employment while in the Commissioned Corps and after his/her separation, including retirement.

Except for race/national origin data, the information is used by the Commissioned Personnel Operations Division (CPOD) to determine qualifications and suitability for appointment, selection, career development and training, transfers, promotions, pay and allowances and other financial benefits and obligations, retention and other personnel actions, and in the preparation of the Commissioned Officer Roster and Promotion Seniority of the Public Health Service.

The race/national origin data are used for statistical purposes in aggregate form only to provide departmental or congressional reports on the composition of the Commissioned Corps. Medical data are used to evaluate applicants for appointment and officers for reassignment and fitness for duty.

Because the Commissioned Corps consists solely of health professionals, information relating to officer's assignments, duties, pay, length of service, etc., may provide useful material for research by the Office of the Secretary, HHS, and the Office of the Assistant Secretary for Health, PHS, concerning the activities of health personnel.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information from these records may be used:

1. To disclose information to the Office of Management and Budget for budgetary or management oversight purposes.

2. To disclose information for a research purpose, when the Department has:

(a) determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) require the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under the same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit relating to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law; and

(d) secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

3. To disclose information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

4. In the event of litigation where the defendant is:

(a) the Department, any component of the Department, or any employee of the Department in his or her official capacity;

(b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or

(c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Automated (disc and magnetic tape) and nonautomated (hard-copy) files.

Retrievability: Alphabetically by name, by PHS serial number, and by Social Security Number in accordance with Section 7(a)(2)(B) of the Privacy Act and Executive Order 9397.

Safeguards: Access to and use of both nonautomated and automated records is limited to personnel whose official duties require such access. For example, automated records are secured by assigning individual access codes to authorized personnel. Further safeguards are provided for both automated and nonautomated records in accordance with chapters 45–13 and PHS.hf:45–13 of the Department's General Administration Manual, and Part 6 of the Department's ADP Systems Manual. For example, personnel screening and Privacy Act nondisclosure oath are employed to prevent unauthorized disclosure. Authorized personnel includes programmers, analysts, and administrative staff. Nonautomated records kept in Lektrievers, Conserv-a-Files, and safes in restricted area protected by building guard force.

Retention and disposal: These records are maintained for varying periods of time. The OPF is maintained one-year after the officer separates from active duty, at which time such officer's OPF is transferred to a Federal Records Center for permanent storage. Service Record Cards which list critical data with regard to the dates of the officer's appointment, reassignments, and separation are maintained for five years after the officer separates from active duty and subsequently destroyed.

System manager(s) and address: Director, CPOD (See System Location above).

Notification procedure: The requester who appears in person seeking access shall provide his/her name and at least one piece of tangible identification (e.g., PHS Commissioned Corps Identification Card, driver's license, passport, or voter registration card). Identification cards with current photographs are preferred but not required. Written requests must be signed and a comparison will be made of that signature and the signature maintained on file prior to release of the material requested. In addition, the following information must be provided when requesting material: (a) full name; and (b) a description of the record sought. Notification requests should be addressed to the System Manager.

Record access procedures: Same as Notification Procedures. Requesters should also reasonably specify the record contents being sought. Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the System Manager. Denial of access may be appealed to the Director, Office of Management, PHS.

Contesting record procedures: If access has been granted, contact the official at the address specified under Notification Procedures above and reasonably indentfy the record, specify the information being contested, and state the corrective action sought.

Record source categories: From individual officers and applicants; from persons providing references, and from the record sources described by the following systems: 09–37–0004, "PHS Commissioned Corps Training Files," HHS/OASH/OM; 09–37–0005, "PHS Commissioned Corps Board Proceedings," HHS/OASH/OM; 09–37–0006, "PHS Commissioned Corps Grievance, Non-Board and Pre-Board Involuntary Retirement/Separation, and Disciplinary Files," HHS/OASH/OM; 09–37–0007, "PHS Commissioned Corps General Personnel Records," HHS/OAS/OM, and 09–37–0008, "PHS Commissioned Corps Unofficial Personnel Files and Other Station Files," HHS/OASH/OM.

Systems exempted from certain provisions of the act: Individuals will be provided information from this record system except when, in accordance with the provisions of 5 U.S.C. 552a(k)(5), (a) disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or (b) if the information was obtained prior to September 27, 1975, disclosure of such information would reveal the identity of the source who provided information under an implied promise that the identity of the source would be held in confidence.

09–37–0003

System name: PHS Commissioned Corps Medical Records. HHS/OASH/OM.

Security classification: None.

System location: Office of the Director, Commissioned Personnel Operations Division, Office of Personnel Management/OM/PHS, Room 4A–15, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857

and

General Services Administration, Federal Records Center, 111 Winnebago Street, St. Louis, MO 63118.

Categories of individuals covered by the system: PHS commissioned officers; applicants to the Commissioned Corps; retired and terminated officers; and dependents of officers who request certification of the dependent's incapacity.

Categories of records in the system: Medical files and records on individuals covered; medical board records; death case files and supporting documents; and correspondence relating to the above.

Authority for maintenance of the system: 42 U.S.C. 202 et seq.

Purpose(s):

The information is used by the Commissioned Personnel Operations Division (CPOD) to:

Evaluate applicants for appointment and officers for reassignment and fitness for duty;

Make determinations about the level of officer's disability and entitlement to disability severance or retired pay;

Make budgetary estimates about the cost of disability severance and retired pay;

Prepare reports or provide statistical information relating to the medical status of officers;

Provide information to PHS hospitals and clinics to promote continuity of care for officers; and

Provide information relating to the death of officers to the Social Security Administration or other Department components to determine the social security benefits or other benefits which may be available to the survivors of deceased officers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information from these records may be used:

1. To disclose information to the Veterans Administration in event of post-service claims or continued medical care while still on active duty.

2. To disclose this information to the Bureau of Prisons (Department of Justice), Coast Guard (Department of Transportation), Agency for International Development (Department of State), Department of Defense, including the Uniformed Services University of the Health Sciences, Environmental Protection Agency, and other Federal agencies where commissioned officers are assigned or are receiving medical treatment, to ensure continuity of treatment.

3. To disclosure information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

4. In the event of litigation where the defendant is:

(a) the Department, any component of the Department, or any employee of the Department in his or her official capacity;

(b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or

(c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Automated (disc) and nonautomated (hard-copy) files.

Retrievability: Alphabetically by name, by PHS Serial Number, or by CPOD-assigned Applicant Processing Number.

Safeguards: Access to and use of both automated and nonautomated records is limited to Medical Branch staff, file room personnel, and Department officials who are responsible for medical fitness determinations. For example, automated records are secured by assigning individual access codes to authorized personnel. Further safeguards are provided for both automated and nonautomated records in accordance with chapters 45–13 and PHS.hf:45–13 of the Department's General Administration Manual, and Part 6 of the Department's ADP Systems Manual. For example, personnel screening and Privacy Act nondisclosure oath are employed to prevent unauthorized disclosure. Nonautomated records are kept in Lektrievers, Conserv-a-Files, and safes in restricted, inner-office area protected by building guard force.

Retention and disposal: Records are transferred to a Federal Records Center within one year after the officer is separated from the Commissioned Corps. Medical records on non-selected applicants are destroyed after five years.

System manager(s) and address: Director, CPOD (See System location above).

Notification procedure: The requester who appears in person seeking access shall provide his/her name and at least one piece of tangible identification (e.g., PHS Commissioned Corps Identification Card, driver's license, passport, or voter registration card). Identification cards with current photographs are preferred but not required. Written requests must be signed and a comparison will be made of that signature and the signature maintained on file prior to release of the material requested.

If a determination is made that the material sought contains medical information that is potentially detrimental to the requestor, the requestor shall be asked to designate in writing a responsible representative who will be willing to review the record and inform the subject individual of the material's contents at the representative's discretion. A parent or guardian who requests notification of or access to a dependent/incompetent person's record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the dependent/incompetent person as well as his/her own identity.

In addition, the following information must be provided when requesting material: (a) full name; and (b) a description of the record sought. Notification requests should be addressed to the System Manager.

Record access procedures: Same as Notification Procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: From individual officers and other Commissioned Corps officials; applicants; private and governmental physicians; hospitals and clinics; investigative reports; the record sources described in system 09–37–0002, "PHS Commissioned Officer Personnel Data System," HHS/OASH/OM; death certificates and reports of death; and from suvivors and executors of estates.

Systems exempted from certain provisions of the act: None.

09–37–0004

System name: PHS Commissioned Corps Training Files. HHS/OASH/OM.

Security classification: None.

System location: Office of the Director, Commissioned Personnel Operations Division, Office of Personnel Management/OM/PHS, Room 4A–15, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857

and

General Services Administration, Federal Records Center, 111 Winnebago Street, St. Louis, MO 63118.

Categories of individuals covered by the system: Commissioned officers and applicants to the PHS Commissioned Corps.

Categories of records in the system: Applications for and records of continued professional training, Commissioned Officers Student Training and Extern Programs, Commissioned Officer Residency Deferment Program, and Delayed Call to Active Duty Program; references; correspondence relating to applications for training and assignments into training programs; and documents relating to the (a) annual projection of individual training necessary to maximize personal career development goals and mission accomplishment; (b) tuition, personnel, and travel costs; (c) course name and training facility at which offered; and (d) personal data including name, pay grade, Social Security Number, security clearance, resume of educational background to include academic achievements, on-the-job and formal classroom training, and related management reports.

Authority for maintenance of the system: 42 U.S.C. 202 et seq., and Executive Order 9397.

Purpose(s): Used by the Commissioned Personnel Operations Division (CPOD) to: Determine eligibility for training; Prepare cost estimates for such training; and Prepare reports on the number and types of training undertaken by commissioned officers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information from these records may be used:

1. To disclose information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. In the event of litigation where the defendant is:

(a) the Department, any component of the Department, or any employee of the Department in his or her official capacity;

(b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or

(c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Automated (disc) and nonautomated (hard-copy) files.

Retrievability: By officer's name in alphabetical order and by Social Security Number in accordance with Section 7(a)(2)(B) of the Privacy Act and Executive Order 9397.

Safeguards: Access to and use of both nonautomated and automated records is limited to personnel whose official duties require such access. For example, automated records are secured by assigning individual access codes to authorized personnel. Further safeguards are provided for both automated and nonautomated records in accordance with chapters 45-13 and PHS.hf:45-13 of the Department's General Administration Manual, and Part 6 of the Department's ADP Systems Manual. For example, personnel screening and Privacy Act nondisclosure oath are employed to prevent unauthorized disclosure. Authorized personnel includes CPOD administrative staff. Nonautomated records are kept in Lektrievers, Conserv-a-Files, and safes in restricted area protected by building guard force.

Retention and disposal: Records are retained in permanent PHS Commissioned Corps files and transferred to the Official Personnel Folder (OPF) when an officer becomes inactive. OPF is transferred to a Federal Records Center one year after the officer's date of separation.

System manager(s) and address: Director, CPOD (See System location above.)

Notification procedure: The requester who appears in person seeking access shall provide his/her name and at least one piece of tangible identification (e.g., PHS Commissioned Corps Identification Card, driver's license, passport, or voter registration card). Identification cards with current photographs are preferred but not required. Written requests must be signed and a comparison will be made of that signature and the signature maintained on file prior to release of the material requested. In addition, the following information must be provided when requesting material: (a) full name; and (b) a description of the record sought. Notification requests should be addressed to the System Manager.

Record access procedures: Same as Notification Procedures. Requesters should also reasonably specify the record contents being sought. Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the System Manager. Denial of access may be appealed to the Director, Office of Management, PHS.

Contesting record procedures: If access has been granted, contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: From officers and applicants concerned; from persons providing references; and from the record sources described by system 09-37-0002, "PHS Commissioned Officer General Personnel Data System," HHS/OASH/OM.

Systems exempted from certain provisions of the act: Individuals will be provided information from the above record system except, when in accordance with the provisions of 5 U.S.C. 552a(k)(5), (a) disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or (b) if the information was obtained prior to September 27, 1975, disclosure of such information would reveal the identity of the source who provided information under an implied promise that the identity of the source would be held in confidence.

09-37-0005

System name: PHS Commissioned Corps Board Proceedings. HHS/OASH/OM.

Security classification: None.

System location: Office of the Director, Commissioned Personnel Operations Divisions, Office of Personnel Management/OM/PHS Room 4A-15, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857

General Services Administration, Federal Records Center, 111 Winnebago Street, St. Louis, MO 63118

Board for Correction of PHS Commissioned Corps Records/OM/OASH, Room 17-53, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857.

Categories of individuals covered by the system: Commissioned officers and applicants to the PHS Commissioned Corps.

Categories of records in the system: The categories of records in the system consists of the following:

1. Commissioned Officers Awards Board files consisting of nominations, citations, and related documents.

2. Appointment Board files consisting of applications, references, and school transcripts.

3. Promotion Board files consisting of Commissioned Officer Efficiency and Progress Reports (COEPRs), recommendations from PHS components, citations and awards, and information pertaining to disciplinary actions.

4. Involuntary Separation Board files consisting of COEPR's PHS component recommendations with respect to separations, information pertaining to disciplinary actions, references, and statements of the officer with respect to marginal or substandard performance.

5. Boards of Investigation files consisting of COEPRs, PHS component allegations of misconduct, documentation relating to misconduct, and statements of the officer relating to alleged instances of misconduct.

6. Retirement Boards files consisting of COEPRs, PHS component evaluations on the continued need of the officer, and statements of the officer concerning his/her request for retirement.

7. Continuation Pay (CP) Review Board files consisting of COEPRs, CP contracts, certification of eligibility by PHS components, school transcript, and related documents.

8. Medical Officer Special Pay Review Board files consisting of COEPRs, retention special pay contracts, certification of eligibility by PHS components, school transcripts, and related documents.

9. Assimilation Board files consisting of COEPRs, PHS component recommendations, awards and citations, and information pertaining to disciplinary actions.

10. Three-Year File Review Board files consisting of COEPRs, recommendations from PHS components, citations and awards, and information pertaining to disciplinary actions.

11. Board for Correction of PHS Commissioned Officer Records files consisting of applications, case briefs, findings, conclusions, recommendations, and related documents.

Authority for maintenance of the system: 42 U.S.C. 202 et seq., and 5 U.S.C. 4501. For the Board for Correction, the authorities are 10 U.S.C. 1552; 42 U.S.C. 213a(a)(12); and Executive Order 9397.

Purpose(s): Used by PHS Commissioned Corps Boards to recommend or decide on appropriate actions in the categories listed above, and by the Commissioned Personnel Operations Division (CPOD) in the preparation of the PHS Commissioned Officer Roster and Promotion Seniority of the Public Health Service which contains the names of status of officers on active duty. With regard to the Board for Correction, records are used to review and act on claims of errors or injustices in personnel records.

Routine uses of records maintained in the system, including categories of users and the purposes of such use: These records or information from these records may be used:

1. To disclosure information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. In the event of litigation where the defendant is:

(a) the Department, any component of the Department, or any employee of the Department in his or her official capacity;

(b) the United States where the Department determines that the claims, if successful, is likely to directly affect the operations of the Department or any of its components; or

(c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Automated (disc) and nonautomated (hard-copy) files.

Retrievability: Alphabetically by name of officer.

Safeguards: Access to and use of both nonautomated and automated records is limited to personnel whose official duties require such access. For example, automated records are secured by assigning individual access codes to authorized personnel. Further safeguards are provided for both automated and nonautomated records in accordance with chapters 45–13 and PHS.hf:45–13 of the Department's General Administration Manual, and Part 6 of the Department's ADP Systems Manual. For example, personnel screening and Privacy Act nondisclosure oath are employed to prevent unauthorized disclosure. Authorized personnel includes programmers, analysts, and administrative staff. Non-automated records are kept in Lektrievers, Conserv-a-Files, and safes in restricted area protected by building guard force.

In addition, records of the Board for Correction of PHS Commissioned Corps Records are stored in a metal filing cabinet located in an inner-office which is occupied continuously during working hours and is locked during nonworking hours. Access to these records is limited to the Board members, support staff, CPOD staff who demonstrate a need to know, and the Director, Office of Management, PHS, who has been delegated authority for approval or disapproval of all actions of this Board.

Retention and disposal: Board findings and recommendations are destroyed after one year unless needed for a longer period of time for administrative purposes. Records relating to the Board for Correction of PHS Commissioned Corps Records are maintained permanently in the Office of Management, PHS.

System manager(s) and address: Director, CPOD, and Chairman, Board for Correction of PHS Commissioned Corps Records (See System location above).

Notification procedure: The requester who appears in person seeking access shall provide his/her name and at least one piece of tangible identification (e.g., PHS Commissioned Corps Identification Card, driver's license, passport, or voter registration card). Identification cards with current photographs are preferred but not required. Written requests must be signed and a comparison will be made of that signature and the signature maintained on file prior to release of the material requested. In addition, the following information must be provided when requesting material: (a) full name; and (b) a description of the record sought. Notification requests should be addressed to the responsible System Manager.

Record access procedures: Same as Notification Procedures. Requesters should also reasonably specify the record contents being sought. Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the System Manager. Denial of access may be appealed to the Director, Office of Management, PHS, except for denials of access to records of the Board for Correction of PHS Commissioned Officer Records. Denials of access for those records may be appealed to the Assistant Secretary for Health

Contesting record procedures: If access has been granted, contact the responsible official at the address specified under Notification Procedures above, reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: From individuals themselves or their service records; including efficiency and progress reports; from persons providing references; from reports of findings and recommendations made by Board members; and from supervisors. In addition, Board members may present findings and recommendations, to the Board for Correction and PHS Commissioned Corps Records.

Systems exempted from certain provisions of the act: Individuals will be provided information from the above record system except, when in accordance with the provisions of 5 U.S.C. 552a(k)(5), (a) disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or (b) if the information was obtained prior to September 27, 1975, disclosure of such information would reveal the identity of the source who provided information under an implied promise that the identity of the source would be held in confidence. Pursuant to 5 U.S.C. 552a(k)(6) all material and information in this system of records about an individual that meet the criteria stated in 5 U.S.C. 552a(k)(6) are exempt from the requirements of 5 U.S.C. 552a(c)(3); (e)(4)(G), (H) and (I); and (f) relating to access and contest, making an accounting of disclosures to the individual named in the record, the provisions regarding agency rules in that portion of this system that relate to testing and examination materials that are used solely to determine individual qualifications for appointment or promotion in the PHS Commissioned Corps. The specific material that is exempted is as follows:

a. Answer keys.
b. Ratings given for the purpose of validating examinations.
c. Rating sheets.
d. Rating schedules, including crediting plans.
e. Transmutation tables.
f. Test booklets.
g. Test item files.

09–37–0006

System name: PHS Commissioned Corps Grievance, Non-Board and Pre-Board Involuntary Retirement/Separation, and Disciplinary Files. HHS/OASH/OM.

Security classification: None.

System location: Office of the Director, Commissioned Personnel Operations Division, Office of Personnel Management/OM/PHS, Room 4A–15, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857

and

General Services Administration, Federal Records Center, 111 Winnebago Street, St. Louis, MO 63118.

Categories of individuals covered by the system: Commissioned officers and applicants to the PHS Commissioned Corps.

Categories of records in the system: Files concerning grievances filed by or against commissioned officers; disciplinary actions, involuntary retirements and involuntary separations (non-board or pre-board actions) taken against commissioned officers; and correspondence related thereto.

Authority for maintenance of the system: 42 U.S.C. 202 et seq., and 5 U.S.C. 4501.

Purpose(s): Used by the Commissioned Personnel Operations Division (CPOD) to decide or process grievances, involuntary retirements, involuntary separations, or disciplinary actions, or by those assisting in these actions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information from these records may be used:

1. To disclose information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. In the event of litigation, where one of the parties is:

(a) the Department, any component of the Department, or any employee of the Department in his or her official capacity;

(b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or

(c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Automated (disc) and nonautomated (hard-copy) files.

Retrievability: Alphabetically by officer's name.

Safeguards: Access to and use of both nonautomated and automated records is limited to personnel whose official duties require such access. For example, automated records are secured by assigning individual access codes to authorized personnel. Further safeguards are provided for both automated and nonautomated records in accordance with chapters 45–13 and PHS.hf:45–13 of the Department's General Administration Manual, and Part 6 of the Department's ADP Systems Manual. For example, personnel screening and Privacy Act nondisclosure oath are employed to prevent unauthorized disclosure. Authorized personnel includes CPOD administrative staff and other Department officials responsible for making determinations regarding the disposition of grievances, involuntary terminations, or disciplinary actions. Nonautomated records kept in Lektrievers, Conserv-a-Files, and safes in restricted area protected by building guard force.

Retention and disposal: Grievance files are destroyed after two years, or earlier if no longer needed for administrative purposes. Other records are transferred to a Federal Records Center one year after the officer separates from active duty, unless the officer is

retired or the disciplinary action results or is likely to result in litigation.

System manager(s) and address: Director, CPOD (See System location above).

Notification procedure: The requester who appears in person seeking access shall provide his/her name and at least one piece of tangible identification (e.g., PHS Commissioned Corps Identification Card, driver's license, passport, or voter registration card). Identification cards with current photographs are preferred but not required. Written requests must be signed and a comparison will be made of that signature and the signature maintained on file prior to release of the material requested. In addition, the following information must be provided when requesting material: (a) full name; and (b) a description of the record sought. Notification requests should be addressed to the System Manager.

Record access procedures: Same as Notification Procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: From individuals themselves; from reports of CPOD investigations; and from reports of review boards.

Systems exempted from certain provisions of the act: None.

09–37–0007

System name: PHS Commissioned Corps General Personnel Records, HHS/OASH/OM.

Security classification: None.

System location: Office of the Director, Commissioned Personnel Operations Division, Office of Personnel Management/OM/PHS, Room 4A–15, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857

and

General Services Administration, Federal Records Center, 111 Winnebago Street, St. Louis, MO 63118.

Categories of individuals covered by the system: Commissioned officers, former commissioned officers, dependents and survivors of the above, and applicants to the PHS Commissioned Corps.

Categories of records in the system: These records contain application forms for appointment, references and other documents relating to qualifications or suitability for appointment and assignment, including medical intern and residency evaluations; Service Record Cards (summarizing personnel actions); efficiency and progress reports; career development and training records; documents relating to promotion, retention, separation, and other personnel actions; applications and records of Service action relating to pay, travel, and allowances (including overseas educational allowances for dependents); identification and privilege card records; applications and records of Service action relating to Commissioned Officer Residency Deferment Program and Commissioned Officer Student Training and Extern Programs; survivor benefits; selection system applications; non-board terminations and reprimands, after final administrative action; leave records; awards and authorizations; Official Personnel Folders; and correspondence relating to the above.

Authority for maintenance of the system: 42 U.S.C. 202 et seq., and Executive Orders 9397 and 10450.

Purpose(s): Used by the Commissioned Personnel Operations Division (CPOD) to determine qualifications and suitability for appointment, selection, career development and training, transfers, promotions, financial benefits and obligations, retention and other personnel actions; and in the preparation of the Commissioned Officer Roster and Promotion Seniority of the Public Health Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information from these records may be used:

1. To disclose information to other Federal agencies in the event of their appointment of former officers.

2. To disclose information to other Federal agencies to the extent necessary to obtain suitability and security investigation reports.

3. To disclose information to the Department of Defense in the event of national emergency to the extent necessary to provide assistance during an emergency situation.

4. To disclose information to the Federal Housing Administration and the Veterans Administration to the extent necessary to act on employment claims and determine benefits.

5. To disclose information to the Bureau of Prisons (Department of Justice), Coast Guard (Department of Transportation), Agency for International Development (Department of State), Uniformed Services University of the Health Sciences (Department of Defense), and Environmental Protection Agency, which may need such information about commissioned officers assigned or detailed to those agencies.

6. To disclose information for a research purpose, when the Department has:

(a) determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under the same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit relating to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

7. To disclose information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

8. In the event of litigation where the defendant is:

(a) the Department, any component of the Department, or any employee of the Department in his or her official capacity;

(b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or

(c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Automated (disc and magnetic tape) and nonautomated (hard-copy) files.

Retrievability: Alphabetically by name, by PHS Serial Number, and by Social Security Number in accordance with Section 7(a)(2)(B) of the Privacy Act and Executive Order 9397.

Safeguards: Access to and use of both nonautomated and automated records is limited to personnel whose official duties require such access. For example, automated records are secured by assigning individual access codes to authorized personnel. Further safeguards are provided for both automated and nonautomated records in accordance with chapters 45–13 and PHS.hf:45–13 of the Department's General Administration Manual, and Part 6 of the Department's ADP Systems Manual. For example, personnel screening and Privacy Act nondisclosure oath are employed to prevent unauthorized disclosure. Authorized personnel includes programmers, analysts, and administrative staff. Non-automated records are kept in Lektrievers, Conserv-a-Files, and safes in restricted area protected by building guard force.

Retention and disposal: Applicant files are destroyed after five years if the applicant is not commissioned. Files of Corps officers are retained throughout the individual's employment. The Official Personnel Folder is transferred to a Federal Records Center one year after the officer's separation. Identification and privilege cards and records are disposed of when an officer is no longer entitled to use them.

System manager(s) and address: Director, CPOD (See System location above).

Notification procedure: The requester who appears in person seeking access shall provide his/her name and at least one piece of

tangible identification (e.g., PHS Commissioned Corps Identification Card, driver's license, passport, or voter registration card). Identification cards with current photographs are preferred but not required. Written requests must be signed and a comparison will be made of that signature and the signature maintained on file prior to release of the material requested. In addition, the following information must be provided when requesting material: (a) full name; and (b) a description of the record sought. Notification requests should be addressed to the System Manager.

Record access procedures: Same as Notification Procedures. Requesters should also reasonably specify the record contents being sought. Access to records systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the System Manager. Denial of access may be appealed to the Director, Office of Management, PHS.

Contesting record procedures: If access has been granted, contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Information furnished by: the subject individual, persons who provide refereences, reports of supervisors and other officials, personnel actions of CPOD, and physicians.

Systems exempted from certain provisions of the act: Individuals will be provided information from the above record system except when, in accordance with the provisions of 5 U.S.C. 552a(k)(5), 1) disclosure of such information would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or 2) if the information was obtained prior to September 27, 1975, disclosure of such information would reveal the identity of the source who provided information under an implied promise that the identity of the source would be held in confidence.

09-37-0008

System name: PHS Commissioned Corps Unofficial Personnel Files and Other Station Files. HHS/OASH/OM.

Security classification: None.

System location: Operating offices of the Department responsible for the individual's employment, and

General Services Administration, Federal Records Center, 111 Winnebago Street, St. Louis, MO 63118.

Categories of individuals covered by the system: Commissioned officers, former commissioned officers, with their dependents assigned to the subject installation.

Categories of records in the system: Duplication of any personnel record contained in system 09-37-0007, "PHS Commissioned Corps General Personnel Records," HHS/OASH/OM. In addition, there may be training records, billet descriptions, financial management documents, specialty board examination requests, medical intern and residency evaluations, leave records, indentification and privilege card records, and correspondence relating to the individuals covered.

Authority for maintenance of the system: 42 U.S.C. 202 et seq., and 10 U.S.C. 1071 et seq.

Purpose(s): Used by the Department's operating officers for the purposes of determining an individual's employment status with respect to training, pay, leave, assignment, and related personnel matters.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information from these records may be used:

1. To disclose information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. In the event of litigation where the defendant is:

(a) the Department, any component of the Department, or any employee of the Department in his or her official capacity;

(b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or

(c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Nonautomated (hard-copy) files.

Retrievability: Alphabetically by name of officer.

Safeguards: Records normally stored in locked files in secured areas. Access to and use of records is normally limited to supervisory officials and officials assigned to PHS component personnel offices whose official duties require such access.

Retention and disposal: Station personnel files are destroyed after two years if not used. Leave records are destroyed five years after the officer's separation. Other records are retained until there is no further administrative need to retain them, or until the individual leaves the Department, and are then either destroyed, or, if appropriate, are combined with the records described in system 09-37-0002, "PHS Commissioned Officer Personnel Data System," HHS/OASH/OM, which is then forwarded to a Federal Records Center. Identification and privilege cards and records disposed of when the officer is no longer entitled to use them.

System manager(s) and address: Administrative officers where individual is employed.

Notification procedure: The requester who appeared in person seeking access shall provide his/her name and at least one piece of tangible identification (e.g., PHS Commissioned Corps Identification Card, driver's license, passport, or voter registration card). Identification cards with current photographs are preferred but not required. Written requests must be signed and a comparsion will be made of that signature and the signature maintained on file prior to release of the material requested. In addition, the following information must be provided when requesting material: (a) full name; and (b) a description of the record sought. Notification requests should be addressed to the System Manager.

Record access procedures: Same as Notification Procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the appropriate official indicated under Notification Procedures above; reasonably identify the record; specify the information being contested, and state the corrective action sought.

Record source categories: Information furnished by: the subject individual, persons who provide references, reports of supervisors and other officials, by personnel actions of CPOD, and by the individuals themselves.

Systems exempted from certain provisions of the act: None.

09-37-0009

System name: Applied Statistics Training Institute Applicants and Students. HHS/OASH/OHRST.

Security classification: None.

System location: Room 2-19, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782.

Categories of individuals covered by the system: Applicants for and students of concentrated, intensive short-term courses related to health statistics. They are employees of Federal, State, and local governments and other persons in health-related fields engaged in collecting and analyzing vital and health statistics.

Categories of records in the system: Applied Statistics Training Institute applicant form which contains brief education information, current employment, and courses in which applicant is interested.

Authority for maintenance of the system: Public Health Service Act, Section 304(b)(1) (42 U.S.C. 242b).

Purpose(s): To set up courses, notify applicants of acceptance or non-acceptance, acceptance for a future course if necessary, and to plan for future courses not currently given in order to meet statistical needs of the health and health-related fields. Used exclusively within the National Center for Health Statistics (NCHS).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request for that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Alphabetically filed in file cabinet.

Retrievability: Retrievable by name.

Safeguards: Routine building security. Records are used only by staff administering the Applied Statistics Training Institute. Safeguards are established in accordance with guidelines in DHHS Chapter 45-13, in General Administration Manual, Chapter PHS.hf:45-13, and in the NCHS Staff Manual on Confidentiality.

Retention and disposal: File destroyed six months after each course is completed.

System manager(s) and address: Director, National Center for Health Statistics, Office of Health Research, Statistics, and Technology, Center Building, Room 2–19, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager.

Record access procedures: Same as notification procedures. Positive identification is required from anyone seeking access. Requestors should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Voluntary submission of Application Form by person wishing to take the ASTI courses.

Systems exempted from certain provisions of the act: None.

09–37–0010

System name: Health and Demographic Surveys Conducted in Probability Samples of the U.S. Population. HHS/OASH/OHRST.

Security classification: None.

System location: Room 2–19, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782;

Federal Records Center, 4205 Suitland Road, Suitland, Maryland 20409;

and at selected contractor locations. A current list of contractor sites is available by writing to the System Manager at the address below.

Categories of individuals covered by the system: Individuals and members of households selected by probability sampling techniques to be representative of the civilian population of the United States.

Categories of records in the system: Records containing information on: (1) the incidence of illness and accidental injuries, prevalence of diseases and impairments, the extent of disability, the utilization and cost of health care services, and other health characteristics of individuals obtained in household interviews and from their named health care providers and insurers; or (2) the nutritional status, prevalence levels of specially defined chronic diseases, growth and development patterns and distributions of various health related measurements and related data obtained in a survey involving health examinations, tests, and other measurement procedures; or (3) marital and child bearing history and intended future births, the use of prenatal care, and the family planning practices of individual women obtained by interview. Demographic and socioeconomic characteristics such as age, marital status, education, occupation, and family income are also obtained.

Authority for maintenance of the system: Public Health Service Act, Section 306(b) (42 USC 242k).

Purpose(s): The data are used for statistical purposes only. Uses within the Department include the preparation of aggregated data in the form of statistical tables for publication, analysis, and interpretation, to meet the legislative mandates of 42 USC 242k, to determine levels of illness and disability and their effects on the population, the use of health care facilities, trends in family formation and dissolution, and the like.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data are disseminated for purposes of statistical research and analysis outside DHHS in forms which do not permit the identification of individuals, such as publications of statistical tables, specially requested tabulations, and public use computer tapes. These are communicated to interested persons outside DHHS, such as members of Congress and their staffs, other executive branch agencies, universities, States, cities, private foundations, etc. The findings are used by demographers, sociologists, health statisticians, epidemiologists, other scholars and concerned citizens, to evaluate health matters, make determinations on needs for legislation, appropriations, new service programs, and the like.

The Department occasionally contracts with a private firm for the purpose of collating, analyzing, aggregating, or otherwise refining records in this system. Relevant records are disclosed to such a contractor. The contractor is required to maintain Privacy Act safeguards with respect to such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files and magnetic tapes.

Retrievability: A serial number tied to the selection process of successively smaller geographic areas is assigned to each record on magnetic tape. This serial number is cross-indexed to the original, individually identifiable record.

Safeguards: All employees of the National Center for Health Statistics (NCHS), as a condition of employment, sign an affidavit binding them to nondisclosure of identifiable individual information. Since the magnetic tapes have no name and address information, users of the tape could only identify specific individuals by relating the serial number on the tape to the original record. Only persons needing to use individual data to perform their assigned task, such as analysts, statisticians, statistical clerks, and key punch operators, are allowed access to the original records. Safeguards are established in accordance with guidelines in DHHS Chapter 45–13, in General Administration Manual, Chapter PHS.hf:45–13, and in the NCHS Staff Manual on Confidentiality.

Retention and disposal: Original survey records are reviewed for accuracy, edited, and data (without personal identifiers such as name or Social Security Number) are transferred to magnetic tape. The original records are retained in office files of NCHS until the process of conversion to magnetic tape and verification of information is completed. This process is completed within approximately nine months. The original records are then sent to the Federal Records Center where they are stored for 5 years for interview survey records and 10 years for examination records. Microfilm copies of examination records are retained at the Federal Records Center for 40 years.

System manager(s) and address: Director, National Center for Health Statistics, Office of Health Research, Statistics, and Technology, Center Building, Room 2–19, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager.

Record access procedures: Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the System Manager. Positive identification is required from anyone seeking access. Appeal of access refusal may be made to the Director, Office of Management, Public Health Service.

Contesting record procedures: If access has been granted, contact the System Manager and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Respondents included in the survey samples.

Systems exempted from certain provisions of the act: With respect to this system of records, exemption has been granted from the requirements contained in subsections 552a(c)(3), (d)(1) through (4), and (e)(4)(G) and (H) in accordance with the provision of subsection 552a(k)(4) of the Privacy Act of 1974. The reason this system has been exempted is that this system contains only records required by statute to be maintained and used solely as statistical records. The exemption was published in the Federal Register, October 8, 1975, page 47413.

09–37–0011

System name: Health Manpower Inventories and Surveys. HHS/OASH/OHRST.

Security classification: None.

System location: Room 2–19, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782;

and at selected contractor locations. A current list of contractor sites is available by writing to the System Manager at the address below.

Categories of individuals covered by the system: Individuals tranined in specific health occupations, such as dentists, nurses, pharmacists, optometrists, dental hygienists, and other providers of health care services.

Categories of records in the system: Records containing information on educational attainment, place of education, activity status, place and setting of employment or practice, place of residence, date of birth, sex, and marital status.

Authority for maintenance of the system: Public Health Service Act, Section 306(b) (42 USC 242k).

Purpose(s): The data are used for statistical purposes only. Uses within the Department include the preparation of aggregated data in the form of statistical tables for publication, analysis, and interpretation to meet legislative mandates of the Public Health Service Act, Section 306 (42 USC 242k), such as an annual report on health resources, including a description and analysis of the statistics included under Section 306(b)(1)(G). In addition, probability samples of

individuals are selected by NCHS for statistical research purposes. Tables, magnetic tapes, and statistical samples of individuals are provided for statistical purposes only to the Bureau of Health Professions, Health Resources Administration, for its use in determining health manpower scarcity areas, for loan forgiveness, and developing and evaluating educational and training programs for health manpower.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data are made available to Health Systems Agencies and the State Agency designated under P.L. 93–641 for statistical purposes only for developing and evaluating health plans.

The data are also disseminated for the purpose of statistical research and analysis outside DHHS in forms which do not permit the identification of individuals, such as publication of statistical tables, specially requested tables, and public use magnetic tapes. These are communicated to interested persons outside DHHS, such as members of Congress, other executive branch agencies, professional associations, universities, states, cities, private foundations, etc. The statistical summaries are used by health manpower researchers, legislators, statisticians and concerned citizens to evaluate the Nation's health manpower resources, make determinations on needs for legislation, new health manpower training programs, and the like.

The Department occasionally contracts with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in the system. Relevant records are disclosed to such a contractor. The contractor is required to maintain Privacy Act safeguards with respect to such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files and magnetic tape.

Retrievability: Name and address, date of the inventory or survey, and other identifiers permit the retrieval of a computer record of the individual's information contained on magnetic tape. Original records of information are reviewed by the contractor and/or National Center for Health Statistics (NCHS) staff for accuracy, edited, and data with personal identifier (such as name and address) are transferred to magnetic tape. The records are then matched by personal identifiers to produce an unduplicated file of individuals in a health occupation.

Safeguards: All employees of NCHS, as a condition of employment, sign an affidavit binding them to nondisclosure of identifiable individuals' information. Only persons needing to use individually identifiable data to perform their assigned tasks, such as analysts, statisticians, statistical clerks, and key punch operators, are allowed access to the records. Agreements are also obtained from the recipients of individually identifiable data describe above which bind them to nondisclosure of information identifying individuals and limits the use of the data to statistical research and analysis. Similarly, as a provision of the contract, a contractor acting as a data collection and processing agent of NCHS assures that the confidentiality of the records will be maintained. Safeguards are established in accordance with guidelines in DHHS Chapter 45–13, in General Administration Manual, Chapter PHS.hf: 45–13, and in the NCHS Staff Manual on Confidentiality.

Retention and disposal: The original records are retained in the offices of national professional associations and/or State boards of licensure, or the NCHS data processing facility until the process of conversion to magnetic tape and verification of information is completed and a subsequent inventory or survey is initiated. For these reasons the records may be retained for a period of up to five years before disposal.

System manager(s) and address: Director, National Center for Health Statistics, Office of Health Research, Statistics and Technology, Center Building, Room 2–19, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager at the above address.

Record access procedures: Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the System Manager. Positive identification is required from anyone seeking access. Appeal of access refusal may be made to the Director, Office of Management, Public Health Service.

Contesting record procedures: If access has been granted, contact the System Manager and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Health practitioners, state licensing agencies, or professional associations.

Systems exempted from certain provisions of the act: With respect to this system of records, exemption has been granted from the requirements contained in subsections 552a(c)(3), (d)(1) through (4), and (e)(4)(G) and (H) in accordance with the provision of subsection 522a(k)(4) of the Privacy Act of 1974. The reason that the system has been exempted is that this system contains only records required by statute to be maintained and used solely as statistical records. The exemption was published in the Federal Register, October 8, 1975, page 47413.

09–37–0012

System name: Vital Statistics for Births, Deaths, Fetal Deaths, Marriages and Divorces Occurring in the United States during Each Year. HHS/OASH/OHRST.

Security classification: None.

System location: Room 2–19, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782;

Federal Records Center, 4205 Suitland Road, Suitland, Maryland 20409.

Categories of individuals covered by the system: Individuals who are born and their parents; individuals who die; individuals who are married or divorced; and parents experiencing fetal deaths.

Categories of records in the system: The records include microfilm images of State records or machine-readable data prepared by the State from records collected under the laws of each State for births, deaths, fetal deaths, marriages and divorces. The records contain the demographic characteristics of individuals associated with each event. In addition, the birth records include information on the characteristics of each live birth, the health status of the infant, and socioeconomic characteristics of the parents. The death records contain medical information relating to cause of death and to socioeconomic characteristics of the deceased; the fetal death record contains medical information relating to cause of death and socioeconomic characteristics of the parents. Marriages and divorces include demographic and socioeconomic characteristics of both parties to the event and legal information regarding the event.

Periodically the National Center for Health Statistics (NCHS) conducts followback surveys, collecting information on random samples of births and deaths through mail questionnaires. The content of questionnaires for the followback surveys varies. Past surveys have collected information on such topics as hospital utilization in the last year of life, smoking habits of the deceased, health status of infants, and pregnancy and employment histories of mothers.

Lists of names and other identifying information in the system are provided to NCHS by individuals and organizations who for health research purposes seek to have them matched against files of decedents in order to identify State death records.

Authority for maintenance of the system: Public Health Service Act, Action 306(h) (42 USC 242k).

Purpose(s): The data are used for statistical purposes only. Uses within the Department include the preparation of aggregated data in the form of statistical tables for publication, analsis, and interpretation, to meet the legislative mandates of 42 USC 242k, i.e., to determine the extent and nature of illness and disability of the population of the U.S., including life expectancy and levels of infant and maternal mortality, environmental and other health hazards, trends in family formation, growth, and dissolution, and other related matters. The followback surveys are designed primarily to expand the scope of data that NCHS can collect from the national registration system, to make the registration system more responsive to changing needs for data, and to evaluate the quality of data collected on the birth and death records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The processed data are disseminated for public use in forms that do not permit identification of individuals, such as published statistical tables, special unpublished tabulations, and public use computer tapes, which carry no individual identifiers. They are used by members of Congress and their staffs, other executive branch agencies, state and city governments, public and private research institutions, life insurance companies, faculty and students of universities, physicians, workers in health information, newspaper reporters and feature writers, etc. The findings are used to make determinations on needs for legislation, appropriations, and programs in the health field; to pinpoint health problems, measure progress of national health programs, and make population estimates; for epidemiological studies, marketing research, sociological studies, and studies of the family; and for other research directed at understanding our society.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files and magnetic tapes.

Retrievability: Some States submit microfilm copies of certificates of birth, death, fetal death, marriage, and divorce, and statistics are extracted from them. These microfilms contain individual identifiers; they are the only individually identified records in the system. Other States submit vital statistics data on magnetic tape, showing only a State file number for each case but no personal identifiers.

Safeguards: All employees of NCHS, as a condition of employment, sign an affidavit binding them to nondisclosure of identifiable individual information. Only employees of NCHS or employees of contractors who have signed similar affidavits and who need to use individual data to perform their assigned tasks—persons such as analysts, statisticians, statistical clerks, and key punch operators—are permitted access to the magnetic tapes containing the certificate numbers or to the files contsining the microfilm copies of the certificates. The certificate numbers of the individual records and the geographic code identification of cities with less than 100,000 population are removed before the data tapes are released for public use. No identifying number appears on the public use tape that would link a record on that tape to any individual, to the NCHS master tape, to the microfilm file, or to the original certificate in the State vital statistics office. Safeguards are established in accordance with guidelines in DHHS Chapter 45–13, in General Administration Manual, Chapter PHS.hf:45–13, and in the NCHS Staff Manual on Confidentiality.

Retention and disposal: The microfilm copies of the individually identifiable records are retained in office files of NCHS until the process of conversion to magnetic tape and verification of information is completed. The death records are sent to the Federal Records Center ten years after tabulation for deaths occurring during the three-year period surrounding census years and one year after tabulation for other years. They are held until disposed of, 15 years after tabulation for deaths of the censal years, and five years after tabulation for other years. Records of births, fetal deaths, marriages, and divorces are disposed of two years after tabulation. The questionnaires for the followback surveys are destroyed after conversion to magnetic tape, tabulation, and analyses have been completed.

System manager(s) and address: Director, National Center for Health Statistics, Office of Health Research, Statistics and Technology, Center Building, Room 2–19, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager at the above address.

Record access procedures: Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the System Manager. Positive identification is required from anyone seeking access. Appeal of access refusal may be made to the Director, Office of Management, Public Health Service.

Contesting record procedures: If access has been granted, contact the System Manager and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Vital statistics records are obtained from State vital statistics offices or, in rare instances, from other State or county repositories of marriage or divorce data. Information in followback surveys is obtained from hospitals, physicians, or relatives of the infants or the deceased.

Systems exempted from certain provisions of the act: With respect to this system of records, exemption has been granted from the requirements contained in subsections 552a(c)(3), (d) (1) through (4), and (e)(4) (G) and (H), in accordance with the provision of subsection 552a(k)(4) of the Privacy Act of 1974. The reason that the system has been exempted is that this system contains only records required by statute to be maintained and used solely as statistical records. The exemption was published in the Federal Register, October 8, 1975, page 47413.

09–37–0013

System name: Health Resources Utilization Statistics. HHS/OASH/OHRST.

Security classification: None.

System location: Room 2–19, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782;

Federal Records Center, 4205 Suitland Road, Suitland, Maryland 20409.

Categories of individuals covered by the system: Recipients of medical care included in statistical surveys and reports of the National Center for Health Statistics (NCHS), including but not limited to: (1) staff and residents of nursing homes selected by random sampling techniques to be representative of nursing homes in the U.S.; (2) physicians providing medical care and patients visiting such physicians; (3) patient medical records from selected short-stay hospitals.

Categories of records in the system: Records containing information on: (1) the utilization of long-term care and nursing home care through data on clients and residents (demographic and social characteristics, health status, and charges paid for care) and the facility (general characteristics, certification, services offered, and expense); (2) the demographic characteristics, medical and other problems of persons visiting physicians, and the physicians' diagnoses, treatment, and disposition decisions made during such visits as obtained from physicians during randomly assigned one-week survey periods; (3) the demographic characteristics, administrative information (admission and discharge dates, discharge status, and medical record number), and medical information (diagnoses and surgical procedures abstracted from the face sheet of short-stay hospital medical records); (4) records of family planning medical services provided by the clinics participating in a nationwide sample survey reporting system, the demographic and socioeconomic characteristics, including education and welfare status, of the recipients of these services, and the extent to which these services (excluding physicians' offices) are funded by Federal grants.

In many cases, these records do not contain individual identifiers when they come under control of the National Center for Health Statistics; they carry only sequence numbers, which only the originating agency would be able to translate into a personal identifier—and even then, not in all cases. Names of residents and staff of nursing homes and patients of physicians are listed on separated forms for sampling purposes only and are not included in the final statistical records.

Authority for maintenance of the system: Public Health Service Act, Section 306(b) (42 USC 242k).

Purpose(s): The data are used for statistical purposes only, as specified by statute, Section 308(d) of 42 USC 242m. Uses within the Department include the preparation of aggregated data in the form of statistical tables for publication, analysis and interpretation to meet the legislative mandates of 42 USC 242k, i.e., collection of statistics on the utilization of health services, including the utilization of: (1) long-term care services and nursing home facilities to determine levels of illness and disability, effects on the serviced population, and the costs of care; (2) ambulatory health services by specialties and types of practice of the health professionals providing such services; (3) short-stay hospitals to determine characteristics of patients, length of stay, diagnosis and surgical operations, and utilization patterns of care in hospitals of different size and ownership; (4) family planning facilities to provide statistics on the size of and services dispensed by these facilities, the numbers and characteristics of family planning patients, the overall proportion of the "target population" which is being reached by family planning programs on a national scale, and the like. The family planning data are distributed to the Deputy Assistant Secretary for Population Affairs, DHHS, and the Bureau of Community Health Services in the Health Services Administration for the purpose of executing national family planning programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The data are disseminated in forms which do not permit the identification of individuals, such as publications of statistical tables, specially requested tabulations, and public use computer tapes. These are communicated to interested persons outside DHHS, such as members of Congress and their staffs, other executive branch agencies, universities and medical schools, state and local health planning agencies, private foundations, etc. The findings are used by demographers, sociologists, health statisticians, epidemiologists, medical educators, health planners, other scholars, and concerned citizens, to evaluate health matters, make determinations on needs for legislation, appropriations, new service programs, and the like.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files and magnetic tapes.

Retrievability: Data are retrieved by individual identifier only in the editing stage of data processing and only for the purpose of correcting errors in the recording of information. Original survey records are reviewed for accuracy and edited, then data (without personal identifiers such as name or Social Security Number) are transferred to magnetic tape.

Safeguards: All employees of the National Center for Health Statistics (NCHS), as a condition of employment, sign an affidavit binding

them to nondisclosure of identifiable individual information. Since the magnetic data tapes have no name and address information, users of the tape could only identify specific individuals by relating the identification number on the tape to the original record. Only employees of NCHS, NCHS contractors, the agency supplying the information in the first instance, and third parties with the written permission of the agency supplying the information are permitted access to the magnetic tapes with the identifying numbers described above or to the files containing the original reporting instruments. Access to the records is further limited to persons such as analysts, statisticians, statistical clerks, and key punch operators, who need to use the individual data to perform their assigned tasks. Safeguards are established in accordance with guidelines in DHHS Chapter 45–13, in General Administration Manual, Chapter PHS.hf:45–13, and in the NCHS Staff Manual on Confidentiality.

Retention and disposal: The original records are retained in office files of NCHS or NCHS contractors for two years. The procedure for family planning records differs in that the original documents are retained in office files for only two months. In all instances, the original records are then sent to the Federal Records Center where they are stored for five years.

System manager(s) and address: Director, National Center for Health Statistics, Office of Health Research, Statistics and Technology, Center Building, Room 2–19, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager at the above address.

Record access procedures: Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the System Manager. Positive identification is required from anyone seeking access. Appeal of access refusal may be made to the Director, Office of Management, Public Health Service.

Contesting record procedures: If access has been granted, contact the System Manager and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Hospitals, physicians, clinics, nursing homes, and other providers of health care.

Systems exempted from certain provisions of the act: With respect to this system of records, exemption has been granted from the requirements contained in Subsections 552a(c)(3), (d)(1) through (4), and (e)(4) (G) and (H), in accordance with provisions of Subsections 552a(k)(4) of the Privacy Act of 1974. The reason for this exemption is that this system contains only records required by statute to be maintained and used solely as statistical records. The exemption was published in the Federal Register, September 11, 1978, page 40229.

09–37–0014

System name: Curricula Vitae of Consultants to the National Center for Health Statistics. HHS/OASH/OHRST.

Security classification: None.

System location: Room 2–19, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782; and offices of contractors employed to develop and maintain curricula vitae on consultants to the National Center for Health Statistics (HCHS). Contractor locations are available upon request directed to the System Manager.

Categories of individuals covered by the system: Persons who are current or potential consultants to NCHS. These are persons with special expertise who may be able to assist NCHS on a consultant basis in the planning and conducting of surveys, studies, statistical reporting programs, statistical analyses of data, or in providing training and technical assistance, or assisting in conducting conferences.

Categories of records in the system: Information relating to the professional training and experience of the consultant. This includes address; current position; employer; duties; place, time, and length of education; degrees received; honors received; former positions and work experiences; memberships in professional organizations; special committee and task force assignments; offices held; publications; references; health condition; availability for, and interest in travel and accepting certain assignments; compensation required, etc.

Authority for maintenance of the system: Public Health Service Act, Section 304(b) (42 U.S.C. 242b).

Purpose(s): The data are used by staff of NCHS or its contractors for selecting consultants to assist in projects conducted or sponsored by NCHS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Where Federal agencies having the power to subpoena other Federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

The Department occasionally contracts with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records are disclosed to such a contractor. The contractor is required to maintain Privacy Act safeguards with respect to such records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The information is contained on paper records and computer-readable tape.

Retrievability: Information is retrieved by name, address, speciality, and by other characteristics.

Safeguards: Records are kept in locked metal cabinets or in a locked room when not in use. Records are used only by staff whose official duties require them to use records on consultants. Safeguards are established in accordance with guidelines in DHHS Chapter 45–13, in General Administration Manual, Chapter PHS.hf:45–13, and in the NCHS Staff Manual on Confidentiality.

Retention and disposal: Records are maintained permanently until the consultant's death, disability for consultant work, or request that his/her records be removed from the file.

System manager(s) and address: Director, National Center for Health Statistics, Office of Health Research, Statistics and Technology, Center Building, Room 2–19, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager. Information needed consists of name of individual.

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents being sought. Positive identification is required from anyone seeking access.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Records are obtained from the consultants themselves, except that references may be obtained from present and former employers or supervisors of the consultants, or from individuals given as references by the consultants.

Systems exempted from certain provisions of the act: None.

09–37–0015

System name: National Center for Health Services Research Grants Records System. HHS/OASH/OHRST.

Security classification: None.

System location: National Center for Health Services Research, Center Building, Room 7–41, 3700 East-West Highway, Hyattsville, Maryland 20782.

Federal Records Center, 4205 Suitland Road, Suitland, Maryland 20409.

Categories of individuals covered by the system: Principal Investigators and associated research and administrative personnel.

Categories of records in the system: Grant files, including summary reports, grant applications, grant award notices, annual financial expenditure reports, summary comments of peer reviewers, salary information, staffing lists, general project correspondence, and Social Security Numbers (optional).

Authority for maintenance of the system: Public Health Services Act Sections 304, 305, 308, and 1205 (42 U.S.C. 242b, 242c, 242m, and 300d–4).

Purpose(s): The information in this system is used to facilitate day-to-day grants management operations and for purposes of review, analysis, planning and policy formulation by NCHSR staff members and by other components of DHHS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation, determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files (file folders).

Retrievability: Retrievable by name and grant number.

Safeguards: Locked file cabinets, general building security. Only staff members of the Grants Operations and Administration Branch (GOAE) have regular access to system records. Other NCHSR staff may inspect and review records on a need-to-know basis only, with the approval—and in the presence—of GOAB staff. These safeguards are in compliance with DHHS Chapter 45–13 and Chapter PHS, hf: 45–13 of the General Administrative Manual.

Retention and disposal: Approved grant applications and their respective files are retained at NCHSR for two years beyond the termination date of the project. Rejected grant applications are held for one year. The grant files are then retired to a Federal Records Center and subsequently disposed of in accordance with the PHS/OASH records control schedule. The records control schedule may be obtained by writing to the System Manager at the address below.

System manager(s) and address: Chief, Grants Operations and Administration Branch, National Center for Health Services Research, Office of Health Research, Statistics and Technology, Center Building, Room 7–41, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager at the above address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. Verification of identity is required.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective actions sought.

Record source categories: Applications, reports and correspondence from research community, and statements from grant review committees.

Systems exempted from certain provisions of the act: None.

Health Resources Administration

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09-35-0005

System name: Cycle II Dentist Survey. HHS/HRA/BHPr.

Security classification: None.

System location: Division of Computer Research and Technology, NIH Building 12, 9000 Rockville Pike, Bethesda, MD 20205.

Categories of individuals covered by the system: All U.S. dentists in 1974.

Categories of records in the system: Name; practice location; practice characteristics; and professional history.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): To study the supply and distribution of dentists in each state.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Name within state.

Safeguards: Locked file cabinets, personnel screening and password protection of automated records. Access is restricted to personnel in the professional practices development program area. (Safeguards are in accordance with Part 6, ADP Systems Security of the Department's ADP Systems Manual, and Chapter 45-13, Safeguarding Records Contained in Systems of Records, in the Department's General Administration Manual.)

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Resources Administration. Contact the System Manager for the disposal standard.

System manager(s) and address: Chief, Institutional Development Branch/Division of Dentistry, Center Building, Room 1-16, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if you are the subject of a record, contact the System Manager and provide suitable identification.

Record access procedures: To obtain access to your record, contact the System Manager and provide suitable identification and a reasonable description of the record.

Contesting record procedures: To correct your record, contact the System Manager and provide (a) suitable identification, (b) a reasonable description of the record, (c) the specific information you want corrected, and (d) a precise description of the correction.

Record source categories: American Association of Dental Examiners.

Systems exempted from certain provisions of the act: None.

09-35-0009

System name: Chattanooga Incremental Care Program. HHS/HRA/BHPr.

Security classification: None.

System location: Division of Computer Research and Technology, NIH Building 12, 9000 Rockville Pike, Bethesda, MD 20205.

Categories of individuals covered by the system: Elementary school children ages 4-14 who were treated in the Dental Care Program from 1972-1976.

Categories of records in the system: Patients' dental records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): To study dental health patterns of children in a dental care program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: I.D. Number assigned by program.

Safeguards: Locked file cabinets, personnel screening and password protection of automated records. Access is restricted to personnel in the professional practices development program area. (Safeguards are in accordance with Part 6, ADP Systems Security, of the Department's ADP Systems Manual, and Chapter 45-13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual.)

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Resources Administration. Contact the System Manager for the disposal standard.

System manager(s) and address: Chief, Institutional Development Branch, Division of Dentistry, Center Building, Room 1-16, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if you are the subject of a record, contact the System Manager and provide suitable identification. An individual who requests notification of a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. A parent or guardian who requests notification of a child's medical/dental record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child as well as his/her own identity.

Record access procedures: To obtain access to your record, contact the System Manager and provide suitable identification and a reasonable description of the record. An individual who requests access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. A parent or guardian who requests access to a child's medical/dental record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child as well as his/her own identity.

Contesting record procedures: To correct your record, contact the System Manager and provide (a) suitable identification, (b) a reasonable description of the record, (c) the specific information you want corrected, and (d) a precise description of the correction.

Record source categories: Tennessee Department of Public Health.

Systems exempted from certain provisions of the act: None.

09-35-0013

System name: Indo-China Refugee Physicians and Medical Students. HHS/HRA/BHPr.

Security classification: None.

System location: Washington National Records Center, 4205 Suitland Road, Washington, D.C. 20405.

Categories of individuals covered by the system: Indo-China physicians and medical students who applied for certification by the Educational Commission for Foreign Medical Graduates or the National Board of Medical Examiners under the Indo-China Refugee Physicians and Medical Students Program.

Categories of records in the system: Medical school attended, specialty or specialty preference, age, sex, and marital status.

Authority for maintenance of the system: The Indo-China Refugee Migration and Refugee Assistance Act of 1975 (Pub. L. 94-23).

Purpose(s): To establish credentials and eligibility for training of Indo-China refugee physicians and medical students.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To persons responsible for admitting candidates to training courses for the ECFMG and the National Board of Medical Examiners examinations.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Name of individual.

Safeguards: Restricted access in the Federal Records Center. (Safeguards are in accordance with Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual.)

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Resources Administration. Contact the System Manager for the disposal standard.

System manager(s) and address: Chief, International Educational Programs Section, Educational Development and International Activities Branch, Division of Medicine, Center Building, Room 3–22, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if you are the subject of a record, contact the System Manager and provide suitable identification.

Record access procedures: To obtain access to your record, contact the System Manager and provide suitable identification and a reasonable description of the record.

Contesting record procedures: To correct your record, contact the System Manager and provide (a) suitable identification, (b) a reasonable description of the record, (c) the specific information you want corrected, and (d) a precise description of the correction.

Record source categories: Questionnaires completed by Indo-China physicians and medical students.

Systems exempted from certain provisions of the act: None.

09–35–0014

System name: National Research Service Awards. HHS/HRA/BHPr.

Security classification: None.

System location: Office of Program Support, Room 4–22, Division of Nursing, Room 3–50, Center Building, 3700 East-West Highway, Hyattsville. Md. 20782.

Division of Computer Research and Technology, NIH Building 12, 9000 Rockville Pike, Bethesda, Md. 20205.

Categories of individuals covered by the system: Applicants for and recipients of National Research Service Award fellowships.

Categories of records in the system: Biographical data, education and employment history, reference reports, research background, progress of residency training, transcripts.

Authority for maintenance of the system: Public Health Service Act, Section 472 (U.S.C. 289l–1).

Purpose(s): To select and monitor recipients of fellowship support.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by statute or regulation issued under the statute, the relevant records in the system of records may be referred, as a routine use, to the Department of Justice, for the purpose of investigation and possible prosecution of such violation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and magnetic tape.

Retrievability: Name of individual or application number.

Safeguards: Files are locked during non-business hours, personnel screening, locked computer room and tape vault, guard service and password protection of automated records. Access is restricted to grants management and program personnel responsible for managing the National Research Service Awards program. (Safeguards are in accordance with Part 6, ADP Systems Security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual.)

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Resources Administration. Contact the System Manager for the disposal standard.

System manager(s) and address: Grants Management Officer, BHPr, Center Building, Room 4–27, 3700 East-West Highway, Hyattsville, Md. 20782.

Notification procedure: To determine if you are the subject of a record, contact the System Manager and provide suitable identification.

Record access procedures: To obtain access to your record, contact the System Manager and provide suitable identification and a reasonable description of the record.

Contesting record procedures: To correct your record, contact the System Manager and provide (a) suitable identification, (b) a reasonable description of the record, (c) the specific information you want corrected, and (d) a precise description of the correction.

Record source categories: Applicants; references (supplied by applicant); sponsoring faculty member.

Systems exempted from certain provisions of the act: None.

09–35–0016

System name: Professional Nurse Traineeships. HHS/HRA/BHPr.

Security classification: None.

System location: Office of Program Support, Room 4–22, Division of Nursing, Room 3–50, Center Building, 3700 East-West Highway, Hyattsville, Maryland. 20782.

Division of Computer Research and Technology, NIH Building 12, 9000 Rockville Pike, Bethesda, Maryland 20205.

Categories of individuals covered by the system: Registered nurses who have received Professional Nurse Traineeships.

Categories of records in the system: U.S. citizenship verification; nursing licensure verification; education and employment history; post-traineeship employment.

Authority for maintenance of the system: Public Health Service Act, Section 830 (42 U.S.C. 297).

Purpose(s): To select and monitor recipients of traineeships. Also used for statistical reports and program evaluation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The length of allowable support for a particular applicant may be disclosed to participating schools.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by the agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by statute or regulation issued under the statute, the relevant

records in the system of records may be referred, as a routine use, to the Department of Justice for the purpose of investigation and possible prosecution of such violation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and magnetic tape.

Retrievability: Name or I.D. number of individual.

Safeguards: Files are locked during non-business hours, personnel screening, locked computer room and tape vault, guard service and password protection of automated records. Access is restricted to grants management and program personnel responsible for managing the professional nurse traineeship program. (Safeguards are in accordance with Part 6, ADP Systems Security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual.)

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Resources Administration. Contact the System Manager for the disposal standard.

System manager(s) and address: Grants Management Officer, BHPr., Center Building, Room 4–27, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if you are the subject of a record, contact the System Manager and provide suitable identification.

Record access procedures: To obtain access to your record, contact the System Manager and provide suitable identification and a reasonable description of the record.

Contesting record procedures: To correct your record, contact the System Manager and provide (a) suitable identification, (b) a reasonable description of the record, (c) the specific information you want corrected, and (d) a precise description of that correction.

Record source categories: Applicants and participating schools.

Systems exempted from certain provisions of the act: None.

09–35–0027

System name: Consultants for Office of Health Resources Opportunity. HHS/HRA/OHRO.

Security classification: None.

System location: Office of Health Resources Opportunity (OHRO), Center Building, Room 10–50, 3700 East-West Highway, Hyattsville, Maryland 20782.

Categories of individuals covered by the system: Private citizens employed as consultants by OHRO.

Categories of records in the system: Name, address, phone number, academic history, period of appointment, duties performed for OHRO.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s): To maintain a reference file of consultants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Name of individual.

Safeguards: Locked file cabinets with access by authorized personnel only and general building security. (Safeguards are in accordance with Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual.)

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Resources Administration.

System manager(s) and address: Administrative Officer, Office of Health Resources Opportunity, Center Building, Room 10–50, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if you are the subject of a record, contact the System Manager and provide suitable identification.

Record access procedures: To obtain access to your record, contact the System Manager and provide suitable identification and a reasonable description of the record.

Contesting record procedures: To correct your record, contact the System Manager and provide (a) suitable identification, (b) a reasonable description of the record, (c) the specific information you want corrected, and (d) a precise description of the correction.

Record source categories: Subject individuals, peer referrals, previous employers.

Systems exempted from certain provisions of the act: None.

09–35–0044

System name: Health Professions Planning and Evaluation. HHS/HRA/OA.

Security classification: None.

System location: Health Resources Administration, Center Building, 3700 East-West Highway, Hyattsville, Maryland 20782.

In addition, data are at contractor and field work sites as studies are developed, data collected, and reports written. You may request a list of locations where individually identifiable data are currently located from the System Manager.

Categories of individuals covered by the system: Health professionals and students in the various health professions. Physicians, dentists, pharmacists, optometrists, podiatrists, veterinarians, public health personnel, audiologists, speech pathologists, health care administration personnel, nurses, allied health personnel, medical technologists, and other health personnel may be included.

Categories of records in the system: Name, address, health profession, education history, academic grades, employment history, nationality, race, ethnicity, economic background, and sex. The specific data items collected and maintained are determined by the needs of the individual project.

Authority for maintenance of the system: Public Health Service Act, Section 708 (42 U.S.C. 292h), Health Professions Data, Section 787 (42 U.S.C. 295g–7), Educational Assistance to Individuals from Disadvantaged Backgrounds, Section 798 (42 U.S.C. 295h–7), Educational Assistance to Disadvantaged Individuals in Allied Health Training, and Section 820 (U.S.C. 296k), Special Project Grants and Contracts.

Purpose(s): The Health Resources Administration uses various records in this system to identify problems in the health care training and delivery systems, plan programs to correct those problems and evaluate the effectiveness of the resultant programs. The agency assesses the current supply of health professionals and predicts the supply needs of the future. The agency determines nationwide requirements as well as the needs of specific areas.

The agency also collects data on the educational system which supplies health professionals and on specific health education programs. The data are used to develop and test new methods of training and utilizing health professionals.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, magnetic tape, card files, microfilm, microfiche, and disc storage. The needs of each project determine the types actually used.

Retrievability: By name. In some instances an assigned number may be used to retrieve records.

Safeguards: Locked building, locked rooms, locked file cabinets, personnel screening, locked computer rooms and computer tape vault, guard service, password protection of automated records, and limited access to only authorized personnel may be used. Particular safeguards are selected as appropriate to the type of records included in each project. Authorized personnel are generally limited to contractor personnel directly involved in data collection, compilation, and analysis. (Safeguards are in accordance with Part 6, ADP Systems Security of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual.)

Retention and disposal: The contractor removes personal identifiers and destroys the records when they are no longer needed, as appropriate to the specific project. (Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the Records Control Schedule of the Health Resources Administration). You may obtain a copy of the disposal standard for a particular project by writing to the System Manager.

System manager(s) and address: Contracting Officer, HRA, Center Building, Room 9–22, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if you are the subject of a record, contact the System Manager and provide suitable identification and, if possible, information about the specific project.

Record access procedures: To obtain access to your record, contact the System Manager and provide suitable identification, a reasonable description of the record and, if possible, information about the specific project.

Contesting record procedures: To correct your record, contact the System Manager and provide (a) suitable identification, (b) a reasonable description of the record, (c) the specific information you want corrected, and (d) a precise description of the correction.

Record source categories: Subject individuals, state and local health departments, other health providers, health professions schools, and health professions associations may provide information depending on the individual project involved.

Systems exempted from certain provisions of the act: None.

09–35–0045

System name: Nurse Practitioner Traineeships. HHS/HRA/BHPr.

Security classification: None.

System location: Health Resources Administration, Center Building, Room 3–50 and Room 4–22, 3700 East-West Highway, Hyattsville, Maryland 20782.

Washington National Records Center, 4205 Suitland Road, Washington, D.C. 20405.

Health Services Administration, Accounting and Finance Branch, Parklawn Building, Room 16–23, 5600 Fisher's Lane, Rockville, Maryland 20857.

Categories of individuals covered by the system: Individuals selected to receive nurse practitioner traineeships by schools participating in the program.

Categories of records in the system: A trainee's case file contains a "Traineeship Award Agreement", "Verification of Address Card", and related correspondence with the individual and school(s) attended. Personal information includes name, current address, home address and address of the primary medical care practice location. Social security number may be included when voluntarily provided.

Medical records or reports may be included when a trainee has requested suspension or cancellation of the payment or practice obligation because of medical disability. After determination of the claim, medical records will be returned to the subject individual or authorized representative.

Authority for maintenance of the system: Public Health Service Act, Section 822(b) (42 U.S.C. 296m).

Purpose(s): The purpose of the system is to carry out the Department's responsibilities for the Nurse Practitioner Traineeship Program. The Health Resources Administration uses the records to: (1) determine eligibility of trainees selected by participating schools, (2) determine that the nature, location and duration of practice meets the service commitment of nurses who completed their training, and (3) recover funds from trainees who do not fulfill their practice commitment.

The records in the system are also used by the Health Services Administration, Accounting and Finance Branch to monitor the contractual obligations of trainees found to be in default. If the trainee does not fulfill the service commitment, the trainee must repay the traineeship support received, plus interest, to the U.S. Treasury.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation, where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Disclosure may be made to organizations considered qualified by the Secretary to conduct studies to evaluate the program.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by statute or regulation issued under the statute, the relevant records in the system of records may be referred, as a routine use, to the Department of Justice for the purpose of investigation and possible prosecution of such violation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, magnetic tape and disk storage.

Retrievability: By name of individual.

Safeguards: Locked file cabinets, personnel screening, locked computer rooms and computer tape vault, guard service and password protection of automated files. Access is restricted to personnel responsible for managing the nurse practitioner traineeship program. (Safeguards are in accordance with: Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual; supplementary Chapter PHS.hf: 45–13; and Part 6, ADP Systems Security, of the Department's ADP Systems Manual.)

Retention and disposal: Case files are retired to a Federal Records Center three years after all activity is terminated, usually when the practice or payment obligation has been fulfilled or cancelled. Records are disposed of in accordance with the Records Control Schedule of the Health Resources Administration. You may obtain a copy of the disposal standard by writing to the System Manager.

System manager(s) and address: Chief, Nursing Education Branch, Center Building, Room 3–50, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if you are the subject of a record, contact the System Manager and provide suitable identification. An individual who requests notification of a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: To obtain access to your record, contact the System Manager and provide suitable identification and a reasonable description of the record. An individual who requests access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Contesting record procedures: To correct your record, contact the System Manager and provide (a) suitable identification, (b) a reasonable description of the record, (c) the specific information you want corrected, and (d) precise description of the correction.

Record source categories: Individuals in the system and participating institutions.

Systems exempted from certain provisions of the act: None.

Alcohol, Drug Abuse, and Mental Health Administration

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09-30-0002

System name: STATISTICAL RESEARCH DATA ON ADOLESCENT RUNAWAYS IN PRINCE GEORGES COUNTY, MD., 1962-65. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

MENTAL HEALTH STUDY CENTER
2340 UNIVERSITY BOULEVARD, EAST
ADELPHI, MARYLAND 20783

Categories of individuals covered by the system: ADOLESCENT RUNAWAYS IN PRINCE GEORGES COUNTY, MD., 1962-65.

Categories of records in the system: INFORMATION OBTAINED FROM INTERVIEWS WITH SUBJECT INDIVIDUALS AND PARENTS OR GUARDIANS. TYPES OF INFORMATION INCLUDED IN THE RECORDS ARE: AGE, SEX, HOME ADDRESS AND PHONE NUMBER, HOME CONDITIONS, NATURE OF PROBLEMS, ETC.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTION 301(42 U.S.C. 241).

Purpose(s):

USED BY PROJECT OFFICER FOR FOLLOW-UP STUDY OF ADOLESCENT RUNAWAYS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

2. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FIELD NOTES, TRANSCRIBED INTERVIEWS, AUDIO TAPES OF INTERVIEWS.

Retrievability: RETRIEVED BY NUMBER.

Safeguards: RECORDS KEPT IN LOCKED FILING CABINETS IN A LOCKED ROOM. INDEXES WHICH LINK NAMES AND NUMBERS ARE KEPT IN SEPARATE LOCKED CABINETS.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

CHIEF, MENTAL HEALTH STUDY CENTER
2340 UNIVERSITY BOULEVARD, EAST
ADELPHI, MARYLAND 20783

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. PROVIDE NOTARIZED SIGNATURE AS PROOF OF IDENTITY. THE REQUEST SHOULD INCLUDE THE NAME OF THE RESEARCHER, IF POSSIBLE. A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF A CHILD'S/INCOMPETENT PERSON'S RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP

TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: FROM THE SUBJECT INDIVIDUALS THEMSELVES, AND FROM THEIR PARENTS OR GUARDIANS, WITH SUBJECT INDIVIDUALS' APPROVAL, COOPERATION AND PARTICIPATION.

Systems exempted from certain provisions of the act: NONE.

09-30-0003

System name: MEDICAL RECORD FILES OF PATIENTS SEEN IN THERAPY IN PROGRAMS OF THE MENTAL HEALTH STUDY CENTER. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

MENTAL HEALTH STUDY CENTER
2340 UNIVERSITY BOULEVARD, EAST
ADELPHI, MARYLAND 20783

AND AT CONTRACTOR FACILITIES. A LIST OF CONTRACTOR LOCATIONS IS AVAILABLE FROM THE SYSTEM MANAGER.

Categories of individuals covered by the system: PATIENTS SEEN IN THERAPY IN PROGRAMS OF THE MENTAL HEALTH STUDY CENTER, AT THE CENTER OR AT VARIOUS LOCATIONS THROUGHOUT THE COUNTRY.

Categories of records in the system: CONSULTATION RECORD FORM, INTAKE QUESTIONNAIRE, PROGRESS NOTES, PATIENT SERVICE RECORD FORM, PSYCHOPHYSIOLOGIC AND DEVELOPMENTAL TESTS, MEDICAL AND SOCIAL HISTORIES, PHYSICAL EXAMINATIONS, CLINICAL AND BEHAVIORAL OBSERVATIONS AND INTERVIEW QUESTIONNAIRES, CORRESPONDENCE WITH COMMUNITY AGENCIES, PROFESSIONALS ON CASES, AND CONSENT FORMS.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTION 301(42 U.S.C. 241).

Purpose(s):

USED FOR CLINICAL INTERVENTION BY THERAPISTS AND, WITH INDIVIDUAL CONSENT, FOR BEHAVIORAL AND BASIC RESEARCH.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: MEDICAL RECORD FORMS, CASE NOTES, LOGS, FILES AND INDEXES.

Retrievability: RETRIEVED BY CASE NUMBER AND NAME.

Safeguards: ONLY AUTHORIZED RESEARCH AND SUPPORT STAFF HAVE ACCESS TO RECORDS WHICH ARE KEPT IN LOCKED FILE DRAWERS. INDEX RECORDS KEPT IN SEPARATE LOCKED CABINETS. CONTRACTORS ARE REQUIRED TO COMPLY WITH THE PROVISIONS OF THE PRIVACY ACT AND WITH THE DEPARTMENTAL REGULATIONS.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

CHIEF, MENTAL HEALTH STUDY CENTER
2340 UNIVERSITY BOULEVARD, EAST
ADELPHI, MARYLAND 20783

Notification procedure: AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE, ADDRESSED TO THE SYSTEM MANAGER IDENTIFIED ABOVE. THE REQUEST SHOULD INCLUDE THE NAME OF THE RESEARCHER, AS WELL AS THE NAME OF THE STUDY, IF IT IS A NAMED STUDY. AN INDIVIDUAL WHO REQUESTS NOTIFICATION OF OR ACCESS TO A MEDICAL/DENTAL RECORD SHALL, AT THE TIME THE REQUEST IS MADE, DESIGNATE IN WRITING A RESPONSIBLE REPRESENTATIVE WHO WILL BE WILLING TO REVIEW THE RECORD AND INFORM THE SUBJECT INDIVIDUAL OF ITS CONTENTS AT THE REPRESENTATIVE'S DISCRETION. A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF OR ACCESS TO A MINOR'S RECORD SHALL AT THE TIME THE REQUEST IS MADE DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE DESIGNATE WILL RECEIVE THE RECORD IN ALL CASES AND UPON REVIEW WILL DETERMINE WHETHER THE RECORD SHOULD BE MADE AVAILABLE TO THE PARENT OR GUARDIAN.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: FROM THE PATIENTS THEMSELVES OR FROM THEIR PARENTS OR GUARDIANS WITH SUBJECT INDIVIDUALS' APPROVAL, COOPERATION, AND PARTICIPATION.

Systems exempted from certain provisions of the act: NONE.

09-30-0004

System name: INTRAMURAL RESEARCH PROGRAM RECORDS OF RESEARCH PERFORMED ON IN- AND OUTPATIENTS WITH VARIOUS TYPES OF MENTAL ILLNESS. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

NATIONAL INSTITUTES OF HEALTH
9000 ROCKVILLE PIKE
BETHESDA, MARYLAND 20205
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D. C. 20032

Categories of individuals covered by the system: IN- AND OUTPATIENTS WITH EMOTIONAL, PSYCHIATRIC, AND NEUROPHYSIOLOGICAL DISABILITY, NORMAL SUBJECTS, AND RESEARCH SUBJECTS.

Categories of records in the system: RESEARCH DATA OF WIDE VARIETY INCLUDING BIOCHEMICAL MEASURES, PSYCHOPHYSIOLOGICAL AND PSYCHOLOGICAL TESTS, QUESTIONNAIRES, CLINICAL AND BEHAVIORAL OBSERVATIONS AND INTERVIEWS, PHYSICAL EXAMINATIONS, AND CORRESPONDENCE.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTIONS 301, 302, AND 303 (42 USC 241, 242, 242A).

Purpose(s):

THESE RECORDS ARE USED FOR DIAGNOSIS AND TREATMENT OF PATIENTS WITH NEUROPSYCHIATRIC ILLNESSES; BEHAVIORAL RESEARCH RELATING TO THE CAUSES, DIAGNOSES, AND TREATMENT OF NEUROPSYCHIATRIC DISORDERS; AND BASIC RESEARCH ON BEHAVIORAL PROCESSES AND PERSONALITY DEVELOPMENT.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:

(A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED;

(B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;

(C) HAS REQUIRED THE RECIPIENT TO – (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT – (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW;

(D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

2. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

3. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, AND COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: IN ORIGINAL STATE; FILES, INDEXES, MAGNETIC AND OTHER TAPES.

Retrievability: RETRIEVED BY NAME (CODED).

Safeguards: ONLY AUTHORIZED MEDICAL AND RESEARCH STAFF HAVE ACCESS TO THESE RECORDS. MAGNETIC TAPES, FILES, INDEXES, AND OTHER TAPES THAT CONTAIN INDIVIDUALLY IDENTIFIABLE DATA ARE STORED IN A LOCKED CABINET IN A LIMITED ACCESS AREA. MAGNETIC DATA ARE FURTHER PROTECTED BY SPECIAL ACCOUNT NUMBERS AND PASSWORDS.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR, INTRAMURAL RESEARCH PROGRAM
NATIONAL INSTITUTE OF MENTAL HEALTH
BUILDING 36, ROOM 1A-07
9000 ROCKVILLE PIKE
BETHESDA, MARYLAND 20205

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. PROVIDE NOTARIZED SIGNATURE AS PROOF OF IDENTITY. THE REQUEST SHOULD INCLUDE AS MUCH OF THE FOLLOWING INFORMATION AS POSSIBLE: (A) FULL NAME; (B) NATURE OF ILLNESS (IF ANY); (C) WARD OR LABORATORY; (D) TITLE OF STUDY; (E) NAME OF RESEARCHER CONDUCTING STUDY. AN INDIVIDUAL WHO REQUESTS NOTIFICATION OF OR ACCESS TO A MEDICAL/DENTAL RECORD SHALL, AT THE TIME THE REQUEST IS MADE, DESIGNATE IN WRITING A RESPONSIBLE REPRESENTATIVE WHO WILL BE WILLING TO REVIEW THE RECORD AND INFORM THE SUBJECT INDIVIDUAL OF ITS CONTENTS AT THE REPRESENTATIVE'S DISCRETION. A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF CHILD'S/INCOMPETENT PERSON'S RECORD SHALL AT THE TIME THE REQUEST IS MADE DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE DESIGNATE WILL RECEIVE THE RECORD IN ALL CASES AND UPON REVIEW WILL DETERMINE WHETHER THE RECORD SHOULD BE MADE AVAILABLE TO THE PARENT OR GUARDIAN.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: INFORMATION GATHERED FROM INDIVIDUALS UNDER STUDY, EITHER PATIENT OR NORMAL SUBJECT, CONTRACT SURVEYS, HOSPITAL RECORDS, MEDICAL AND NURSING STAFF NOTES.

Systems exempted from certain provisions of the act: NONE.

09-30-0005

System name: SAINT ELIZABETHS HOSPITAL RESEARCH SUBJECTS DATA RECORD. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

SAINT ELIZABETHS HOSPITAL
WASHINGTON, D. C. 20032
AND
FEDERAL RECORDS CENTER
SUITLAND, MARYLAND

Categories of individuals covered by the system: PERSONS PARTICIPATING IN APPROVED RESEARCH STUDIES AT SAINT ELIZABETHS HOSPITAL IN THE FOLLOWING CATEGORIES: 1) IN-PATIENT, OUT- PATIENTS, AND RELATIONS OF PATIENTS; 2) HOSPITAL STAFF INCLUDING STIPENDED TRAINEES; AND 3) NON-HOSPITAL RELATED SUBJECTS.

Categories of records in the system: RECORD CATEGORIES INCLUDE: DATA FROM INTERVIEWS, MEDICAL AND NON-MEDICAL TEST AND LABORATORY DATA, SELF-REPORT INFORMATION, INFORMANT OBSERVATION DATA, AND DATA FROM PREVIOUS RECORDS.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTION 301 (42 U.S.C. 241).

Purpose(s):

PURPOSES INCLUDE: DATA ANALYSIS; CASE STUDY ILLUSTRATION; HYPOTHESIS GENERATING STUDY; SUBJECT REIMBURSEMENT; DIAGNOSING AND TREATING MENTAL DISORDERS, AND IMPROVING DIAGNOSTIC AND TREATMENT METHODS; GENERATING NEW KNOWLEDGE ABOUT THE NATURE AND CAUSES OF MENTAL AND EMOTIONAL ILLNESSES, AND ABOUT REHABILITATING THE MENTALLY ILL; GENERATING NEW KNOWLEDGE ABOUT HUMAN BEHAVIOR; PROGRAM EVALUATION AND ASSESSMENT; AND HISTORICAL RESEARCH.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. RECORDS ARE ROUTINELY DISCLOSED TO QUALIFIED PHYSICIANS FOR THE PURPOSE OF OBTAINING MEDICAL BACKGROUND DATA.

2. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

3. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUALS).

4.

A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:

(A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED;

(B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;

(C) HAS REQUIRED THE RECIPIENT TO -- (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT -- (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW;

(D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: WRITTEN DOCUMENTS AND PHOTOGRAPHS ARE IN FILE FOLDERS AND FILING CABINETS; AUDIO AND VIDEO TAPE REELS ARE IN STORAGE CABINETS.

Retrievability: SYSTEM IS FILED BY NAME, CODE, AND/OR HOSPITAL CASE NUMBER OF SUBJECT, DATES WHEN RESEARCH WAS CONDUCTED, RESEARCH PROGRAM AREA, AND PRIMARY INVESTIGATOR.

Safeguards: RECORDS ARE MAINTAINED IN MONITORED OFFICES AND ARE ONLY AVAILABLE TO PERSONS AUTHORIZED TO USE RECORDS FOR PURPOSES FOR WHICH THEY WERE COLLECTED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN

System manager(s) and address:

DIRECTOR, HOFFMAN DIVISION OF RESEARCH
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: TO DETERMINE IF A RECORD EXISTS, CONTACT

PRIVACY ACT COORDINATOR
OFFICE OF THE DIRECTOR, HOFFMAN DIVISION OF RESEARCH
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

PROVIDE A NOTARIZED SIGNATURE IF REQUEST IS BY MAIL, OR SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON.

ALL OF THE FOLLOWING DATA MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:

(A) FULL NAME, AND DATE AND PLACE OF BIRTH;
(B) INCLUSIVE DATES OF PARTICIPATION IN THE RESEARCH STUDY;
(C) TYPE OF RESEARCH STUDY;
(D) LOCATION OF THE UNIT WHERE RESEARCH WAS CONDUCTED;
(E) NAME OF PRIMARY INVESTIGATOR;
(F) THE STATUS OF THE REQUESTOR WITH RESPECT TO THE HOSPITAL, E.G., IN-PATIENT, OUT-PATIENT, FORMER PATIENT, STAFF OR TRAINEE, OR NON-HOSPITAL RELATED SUBJECT;
(G) IF POSSIBLE, IN THE CASE OF PATIENTS, THE HOSPITAL NUMBER.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: INFORMATION IS OBTAINED FROM RESEARCH SUBJECTS, OBSERVERS, PREVIOUS RECORDS, AND TEST RESULTS.

Systems exempted from certain provisions of the act: NONE.

09-30-0004

System name: SAINT ELIZABETHS HOSPITAL MEDICAL SUPPORT PROGRAM FILE SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

SAINT ELIZABETHS HOSPITAL
MEDICINE AND LABORATORY BRANCHES
WASHINGTON, D.C. 20032

FEDERAL RECORDS CENTER
SUITLAND, MARYLAND

Categories of individuals covered by the system: ALL PRESENT AND PAST PATIENTS AND EMPLOYEES OF SAINT ELIZABETHS HOSPITAL WHO RECEIVED MEDICAL TREATMENT AND LABORATORY SERVICES.

Categories of records in the system: THE DIVISION OF MEDICAL SUPPORT PROGRAMS IS MADE UP OF TWO BRANCHES: (1) MEDICINE BRANCH; AND (2) LABORATORY BRANCH. LISTED BELOW ARE RECORDS AND LOGS PECULIAR TO THE DIVISION OF MEDICAL SUPPORT PROGRAMS ONLY (NOT USED OUTSIDE THE DIVI-

SION). THE MEDICAL SUPPORT PROGRAM FILE SYSTEM DOES NOT INCLUDE ANY MATERIAL WHICH IS LOCATED IN A PATIENT'S MEDICAL RECORD.

MEDICINE BRANCH RECORDS
1. DENTAL DEPARTMENT: X-RAY FILMS
2. DEPARTMENT OF MEDICINE: CANCER REGISTRY
3. NEUROLOGY DEPARTMENT: ELECTROENCEPHALOGRAPHS AND ECHOENCEPHALOGRAPHS
4. DEPARTMENT OF OPHTHALMOLOGY: PHOTOGRAPHS OF EYES, INTERESTING CASES (CARD FILE)
5. DEPARTMENT OF RADIOLOGY: X-RAY FILMS
6. DEPARTMENT OF REHABILITATION MEDICINE: PHYSICAL THERAPY TREATMENT FILES AND BLIND REHABILITATION RECORDS

MEDICINE BRANCH LOGS
1. EVENING-NIGHT PHYSICIANS' LOGS: ABSTRACT OF THE CASES HANDLED DURING THE TOUR OF DUTY 5:00 P.M. TO 8:30 A.M.
2. DEATH INFORMATION BOOK: ABSTRACT OF INFORMATION REGARDING DEATH OF PATIENT, NOTIFICATION OF RELATIVES, MEDICAL EXAMINER AND/OR OTHER THIRD PARTY.
3. CLINIC APPOINTMENT LOGS: PATIENTS, EMPLOYEES, AND VISITORS WITH IDENTIFYING NUMBER AND REASON FOR APPOINTMENT TO 15 SPECIALTY CLINICS.
5. ADMISSION AND TRANSFER LOGS IN ELDRIDGE BUILDING AND IN REHABILITATION MEDICINE BUILDING: IDENTIFIES PATIENT BY NAME, CASE NUMBER, PSYCHIATRIC SERVICE, DATE OF ADMISSION, WARD ADMITTED TO, DATE OF DISCHARGE, AND PSYCHIATRIC SERVICE RETURNED TO.
6. X-RAY ADMISSION AND EXAMINATION LOG: DAILY RECORD OF PATIENTS EXAMINED AND DIAGNOSTIC FINDINGS.
7. REGISTER OF OPERATIONS: DAILY RECORD OF PATIENTS OPERATED, TYPE OF SURGERY, PARTICIPATING STAFF, TYPE OF ANESTHESIA, AND POSTOPERATIVE CONDITION.

LABORATORY BRANCH RECORD BOOK: PHOTOGRAPH OF PATIENTS, DATES OF PHOTOGRAPHS, AND DIVISION LOCATION OF PATIENTS.

Authority for maintenance of the system: 24 U.S.C. 161, ET SEQ.; 21 DC CODE 562.

Purpose(s):

DENTAL MANAGEMENT AND TRAINING; DIAGNOSIS AND EXAMINATION OF BRAIN LESIONS; GRAPHIC COMPARISON OF TIME AND BRAIN CHANGES; DETERMINATION OF EXTENT OF EYE CHANGES; EPIDEMIOLOGICAL STUDY REFERENCE; RESEARCH; CONTINUITY OF PHYSICAL THERAPY, TREATMENT RECORD, AND PATIENT MANAGEMENT; DEPARTMENTAL ADMINISTRATION AND PLANNING.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. INFORMATION MAY BE PROVIDED TO OUTSIDE PHYSICIANS, DENTISTS, LABORATORIES, PHYSICAL THERAPISTS, VOCATIONAL REHABILITATION THERAPISTS, ETC. WHO ARE TAKING AN ACTIVE ROLE IN THE FURTHER TREATMENT OF PATIENTS SEEN AT THE MEDICINE AND/OR LABORATORY BRANCHES OF SAINT ELIZABETHS HOSPITAL, IN ORDER TO INSURE CONTINUITY OF CARE.

2. INFORMATION FROM THE CANCER REGISTRY IS PROVIDED TO THE DISTRICT OF COLUMBIA CANCER REGISTRY AS REQUIRED BY LAW.

3. DISCLOSURE MAY BE MADE TO ORGANIZATIONS DEEMED QUALIFIED BY THE SECRETARY TO CARRY OUT QUALITY ASSESSMENT, MEDICAL AUDITS OR UTILIZATION REVIEW, TO INCLUDE PROFESSIONAL STANDARDS REVIEW ORGANIZATIONS.

4. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DISCIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES INVOLVED IN THE PROCEEDINGS SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.

5. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

6. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
1. DENTAL X-RAY FILMS - FILE CABINETS IN THE MAIN DENTAL CLINIC AREA.
2. ELECTROENCEPHALOGRAPHS AND ECHOENCEPHALOGRAMS - FILE CABINET IN THE NEUROLOGY DEPARTMENT RECORD ROOM.
3. PHOTOGRAPHS OF EYES OF PATIENTS-FILE CABINET IN THE EYE CLINIC.
4. UNUSUAL EYE CASE FILE - IN A 5 X 3-INCH CARD FILE IN THE EYE CLINIC.
5. X-RAY FILES - OPEN SHELF FILES AND FILING CABINETS IN THE X-RAY DEPARTMENT.
6. CANCER REGISTRY - FILE CABINETS IN THE DEPARTMENT OF MEDICINE.
7. PHYSICAL THERAPY TREATMENT FILES - FILE CABINETS IN THE REHABILITATION MEDICINE DEPARTMENT.
8. BLIND REHABILITATION RECORDS - FILE CABINETS IN THE REHABILITATION MEDICINE DEPARTMENT.

Retrievability:
1. DENTAL X-RAY FILMS - HOSPITAL CASE NUMBER AND NAME.
2. ELECTROENCEPHALOGRAPH AND ECHOENCEPHALOGRAPH - NAME, CASE NUMBER AND DATE OF EXAMINATION.
3. UNUSUAL EYE CASE FILE - BY DISEASE OR CONDITION NAME.
4. X-RAY FILMS - PATIENT'S NAME AND CASE NUMBER OR EMPLOYEE'S NAME, SOCIAL SECURITY NUMBER (TERMINAL DIGIT SYSTEM).
5. CANCER REGISTRY - NAME AND CASE NUMBER.
6. PHYSICAL THERAPY TREATMENT FILES - NAME AND DATE OF EVALUATION.
7. BLIND REHABILITATION RECORDS - NAME AND CASE NUMBER.

Safeguards:
1. DENTAL X-RAY FILMS - SUPERVISION BY PERSONNEL DURING DAY, LOCKED AT NIGHT.
2. ELECTROENCEPHALOGRAMS AND ECHOENCEPHALOGRAPHS - LOCKED RECORD ROOM.
3. PHOTOGRAPHS OF EYES OF PATIENTS - SUPERVISED BY PERSONNEL DURING THE DAY, LOCKED AT NIGHT.
4. UNUSUAL EYE CASE FILE - SUPERVISED BY PERSONNEL BY DAY, LOCKED AT NIGHT.

5. CANCER REGISTRY - SUPERVISED BY PERSONNEL BY DAY, LOCKED AT NIGHT.
6. PHYSICAL THERAPY TREATMENT FILES - LOCKED OFFICE.
7. BLIND REHABILITATION RECORDS - AUTHORIZED PERSONNEL AND LOCKED OFFICE

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR OF MEDICAL SUPPORT PROGRAMS
W. W. ELDRIDGE BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D. C. 20032

Notification procedure: TO DETERMINE IF A RECORD EXISTS, CONTACT

PRIVACY ACT COORDINATOR
OFFICE OF THE DIRECTOR OF THE MEDICINE BRANCH
W. W. ELDRIDGE BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

PROVIDE A NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON.

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:

(A) FULL NAME;
(B) APPROXIMATE DATES OF ENROLLMENT OR EMPLOYMENT AT ST. ELIZABETHS HOSPITAL;
(C) THE NATURE OF THE MATERIAL DESIRED. A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF A CHILD'S/INCOMPETENT PERSON'S RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories:

1. DENTAL X-RAY FILMS - PATIENTS: INPATIENTS AND OUTPATIENTS WITHIN HOSPITAL RECORDS AND/OR OUTSIDE FACILITY.
2. ELECTROENCEPHALOGRAPHIC AND ECHOENCEPHALOGRAPHIC - GRAPHS ARE DERIVED ELECTRONICALLY FROM THE PATIENT'S BRAIN.
3. PHOTOGRAPHS OF EYES OF PATIENTS - PHOTOGRAPHS TAKEN DURING INTERNAL OR EXTERNAL EXAMINATION OF PATIENTS' EYES.
4. UNUSUAL EYE CASE FILE - RESULT OF EXAMINATION IN EYE CLINIC.
5. X-RAY FILMS - FILMS OBTAINED DURING PATIENTS OR EMPLOYEES' TERM IN HOSPITAL AND/OR FROM OUTSIDE SOURCES; I.E., PRIVATE PHYSICIAN OR HOSPITAL.
6. CANCER REGISTRY - CLINICAL RECORDS PRIVATE PHYSICIANS, OUTSIDE HOSPITAL.
7. PHYSICAL THERAPY TREATMENT FILES - PHYSICAL THERAPIST'S NOTES, DOCTOR'S NOTES, PRESCRIPTION RECORDS.
8. BLIND REHABILITATION RECORDS - STAFF OBSERVATION OF PROGRESS.

Systems exempted from certain provisions of the act: NONE.

09-30-0007

System name: SAINT ELIZABETHS HOSPITAL CLINICAL SUPPORT SERVICES RECORD SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location: THIS IS A WIDELY DECENTRALIZED SYSTEM OF RECORDS AT SAINT ELIZABETHS HOSPITAL. RECORDS ARE KEPT IN THE OFFICES OF THE VARIOUS CLINICAL SUPPORT SERVICES OPERATING AT THE HOSPITAL. INCLUDED IN THIS SYSTEM ARE:

1. OCCUPATIONAL THERAPY SECTION-ATKINS HALL
2. EDUCATIONAL REHABILITATION UNIT-ATKINS HALL
3. SPEECH AND AUDIOLOGY BRANCH-REHABILITATION MEDICINE BUILDING
4. INDUSTRIAL THERAPY SECTION-ATKINS HALL
5. DANCE THERAPY SECTION-WILLIAM A. WHITE BUILDING
6. RECREATIONAL THERAPY-HAGAN HALL
7. MUSICOLOGY UNIT-DIX PAVILION
8. CHAPLAINCY PROGRAM-CHAPEL
9. PSYCHODRAMA UNIT - HITCHCOCK HALL
10. INDIVIDUAL PSYCHOTHERAPISTS' OFFICES-IN VARIOUS DIVISIONS, SAINT ELIZABETHS HOSPITAL, WASHINGTON D.C. 20032.

RECORDS ARE STORED AT FEDERAL RECORDS CENTER, SUITLAND, MARYLAND.

Categories of individuals covered by the system: ALL PAST AND PRESENT PATIENTS OF SAINT ELIZABETHS HOSPITAL.

Categories of records in the system: PATIENT DEMOGRAPHIC DATA; RECORDS OF PATIENT PARTICIPATION IN EACH OF THE ABOVE-NAMED CLINICAL SUPPORT PROGRAMS; THERAPISTS' INFORMAL NOTES OF OBSERVATIONS AND EVALUATIONS OF PATIENT ACTIVITIES; CLINICAL IMPRESSIONS; ATTENDANCE RECORDS, TEST RESULTS, ABSTRACTS OF NOTES AND OBSERVATIONS TAKEN FROM THE PATIENT'S MEDICAL RECORD.

Authority for maintenance of the system: 24 U.S.C. 161, ET SEQ.; 21 DC CODE 562.

Purpose(s):

1. TO FACILITATE THE TREATMENT OF PATIENTS AT SAINT ELIZABETHS HOSPITAL.
2. TO ASSESS THE PHYSICAL, EDUCATIONAL, VOCATIONAL, RECREATIONAL AND PHYCHOLOGICAL NEEDS OF PATIENTS AT SAINT ELIZABETHS HOSPITAL AND TO PROVIDE FOR THOSE NEEDS.
3. TO EVALUATE THE EFFECTIVENESS OF THE CLINICAL SUPPORT PROGRAMS AND TO PROVIDE A BASIS FOR THEIR CONTINUING IMPROVEMENT.
4. TO FACILITATE CLINICAL SUPPORT SERVICES, TEACHING PROGRAMS AND SCIENTIFIC RESEARCH.

INDEXES BASED ON THE CLINICAL SUPPORT SERVICES RECORD SYSTEM ARE USED FOR THE FOLLOWING PURPOSES:

A. SPEEDY IDENTIFICATION AND LOCATION OF SPECIFIC PATIENTS;
B. MONITORING THE COMPLETENESS OF PATIENT RECORDS;
C. MONITORING THE CHANGING STATUS OF PATIENTS EITHER IN TERMS OF TRANSFERS WITHIN THE HOSPITAL OR OUTSIDE THE HOSPITAL;
D. EASY IDENTIFICATION OF BASIC DEMOGRAPHIC DATA USED FOR STATISTICAL AND/OR RESEARCH PURPOSES; AND
E. QUICK REVIEW OF CURRENT TREATMENT REGIMEN.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. INFORMATION IS ROUTINELY DISCLOSED TO PERSONS NOT EMPLOYEES OF SEH, WHO HAVE A RESPONSIBILITY FOR THE EXAMINATION AND/OR TREATMENT OF SEH PATIENTS;

2. DISCLOSURE MAY BE MADE TO ORGANIZATIONS DEEMED QUALIFIED BY THE SECRETARY TO CARRY OUT QUALITY ASSESSMENT, MEDICAL AUDITS OR UTILIZATION REVIEW.

3. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DISCIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES INVOLVED IN THE PROCEEDINGS SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.
4. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.
5. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FILE FOLDERS, INDEX CARDS, PUNCHCARDS, RECORD LOGS AND FILE CABINETS.

Retrievability: NAME, HOSPITAL NUMBER, DATES OF ACTIVITIES, LOCATION OF ACTIVITY.

Safeguards:

1. AVAILABLE ONLY TO PROPERLY TRAINED AND SCREENED PERSONNEL.
2. ACCESS LIMITED TO AUTHORIZED PERSONNEL ONLY. ENFORCED BY SECURITY GUARDS; ROOMS ARE LOCKED WHEN UNOCCUPIED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR, CLINICAL SUPPORT PROGRAMS
A BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: A PATIENT OR FORMER PATIENT MAY LEARN IF A RECORD EXISTS UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
OFFICE OF THE DIRECTOR OF CLINICAL SUPPORT PROGRAMS
A BUILDING
SAINT ELIZABETH'S HOSPITAL
WASHINGTON, D. C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:

(A) FULL NAME;
(B) APPROXIMATE DATES OF ENROLLMENT AT ST. ELIZABETHS HOSPITAL;
(C) THE NAME OF THE DIVISION WHERE THE REQUESTOR RESIDED, OR RECEIVED TREATMENT AS AN OUTPATIENT;
(D) THE IDENTITY OF THE CLINICAL SUPPORT SERVICE AND THE APPROXIMATE DATES OF PARTICIPATION IN THE PROGRAM;
(E) IF POSSIBLE, THE NAME OF THE INDIVIDUAL THERAPIST;
(F) IF POSSIBLE, THE PATIENT'S HOSPITAL NUMBER.

A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF OR ACCESS TO A CHILD'S/INCOMPETENT PERSON'S RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: PAST AND PRESENT PATIENTS OF SAINT ELIZABETHS HOSPITAL, VARIOUS EMPLOYEES OF THE HOSPITAL AND THE PATIENTS' MEDICAL/CLINICAL RECORD.

Systems exempted from certain provisions of the act: NONE.

09-30-0008

System name: SAINT ELIZABETHS HOSPITAL SOCIAL SERVICES RECORD SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location: A WIDELY DECENTRALIZED SYSTEM AT SAINT ELIZABETHS HOSPITAL. INDIVIDUAL RECORDS ARE KEPT IN THE OFFICES OF SOCIAL WORKERS RESPONSIBLE FOR PATIENTS ON THE ROLLS OF THE VARIOUS HOSPITAL DIVISIONS. SOCIAL WORKERS' OFFICES ARE LOCATED IN EACH INPATIENT AND OUTPATIENT DIVISION OR CLINIC AT SAINT ELIZABETHS HOSPITAL, WASHINGTON, D.C. 20032. RECORDS OF INDIVIDUALS IN TRANSITION PROGRAMS MAY BE LOCATED AT CONTRACTOR SITES. FOR A CURRENT LISTING OF CONTRACTOR SITES, CONTACT THE SYSTEM MANAGER. RECORDS ARE STORED AT THE FEDERAL RECORDS CENTER, SUITLAND, MARYLAND.

Categories of individuals covered by the system: ALL PAST AND PRESENT PATIENTS ON THE ROLLS OF SAINT ELIZABETHS HOSPITAL; HOME SPONSORS; CARETAKERS; OWNERS AND OPERATORS OF FACILITIES PROVIDING SERVICES TO PATIENTS.

Categories of records in the system: FILES ON INPATIENTS AND OUTPATIENTS CONTAINING DEMOGRAPHIC DATA; SOCIAL WORKERS' CONTACT WITH FAMILIES AND THE COMMUNITY INCLUDING SOCIAL, MARITAL AND FAMILY STATUS, JOB STATUS; IDENTIFYING INFORMATION CONTAINING NAME, ADDRESS, TELEPHONE NUMBERS, SOCIAL SECURITY NUMBERS, MEDICAID NUMBERS, DATE OF BIRTH, LEGAL STATUS, FINANCIAL INFORMATION HOSPITAL NUMBER, V.A. NUMBERS, HEALTH INSURANCE NUMBERS, CIVIL SERVICE NUMBERS, FAMILY COMPOSITION; STATEMENT ON BACKGROUND, NAMES OF RELATIVES CONSERVATORS WITH ADDRESSES AND TELEPHONE NUMBERS; CORRESPONDENCE SENT OTHER AGENCIES; INFORMATION REGARDING PSYCHIATRIC AND MEDICAL CONDITION; SOCIAL HISTORIES; PROGRESS NOTES (CARBON COPIES OF NOTES PLACED IN CHART) HAND WRITTEN PROGRESS NOTES NOT IN CHART, RETURN TO HOSPITAL NOTES, INTERVAL HISTORIES, PLACEMENT AND PLANNING NOTES; INFORMATION REGARDING PSYCHIATRIC AND MEDICAL CONDITION, FINANCIAL RESOURCES, TREATMENT PLANS, CORRESPONDENCE TO RELATIVES, FRIENDS OTHER AGENCIES, ETC. TELEPHONE INTERVIEWS OR CONVERSATIONS, INCIDENT REPORTS AND COPIES OF REPORTABLE OCCURRENCES, GROUP THERAPIES AND INDIVIDUAL THERAPIES BY SOCIAL WORKERS, DAYCARE STATUS AND GROUP ACTIVITIES, RELIGIOUS HISTORIES; INTRA-AGENCY EVALUATIVE AND ASSESSMENT DATA AND REPORTS RECEIVED FROM OTHER SOURCES, OUTSIDE AGENCIES THAT PROVIDE

SUPPORTIVE SERVICES; ESSENTIAL INFORMATION REGARDING SERVICES SOUGHT OR RECEIVED.

Authority for maintenance of the system: 24 U.S.C. 161, ET SEQ.; 21 DC CODE 562.

Purpose(s):

INFORMATION IS USED:

1. IN PLANNING TO ASSESS THE PATIENT'S OVERALL ABILITY TO BE PLACED AND TO ADJUST OR FUNCTION IN THE TYPE OF ENVIRONMENT TO WHICH HE OR SHE HAS BEEN REFERRED.
2. FOR ACCOUNTABILITY TO OTHER HOSPITAL PERSONNEL AND REFERENCE FOR RECORDING OR SHARING INFORMATION WITH STAFF AND OTHER NECESSARY PERSONS UPON REQUEST.
3. TO SHARE INFORMATION WITH TEAM, REFERENCE FOR CASEWORK SERVICES AND REFERENCE FOR COMPLETING FORMS.
4. TO MONITOR PATIENT'S PROGRESS AND PERIODICALLY ASSESS PLACEMENT SITUATIONS IN OUTPLACEMENT FACILITIES. TO MONITOR OUTPLACEMENT FACILITES OUTSIDE THE HOSPITAL AND ASSIST IN PLACEMENT OF PATIENTS BY PROVIDING ACCURATE, UP-TO-DATE INFORMATION REGARDING AVAILABLE FACILITIES; AND TO DETERMINE THE STATUS OF COMPLIANCE OF A FACILITY WITH CERTAIN STANDARDS THROUGH APPROPRIATE LICENSING AGENCIES. TO FAMILIARIZE STAFF WITH OUTPLACEMENT FACILITIES. TO ASSESS OUTPLACEMENT OPERATORS, ADMINISTRATORS OR OWNERS ABILITY TO PROVIDE THE LEVEL OF CARE NEEDED BY INDIVIDUAL PATIENTS. TO SHARE PATIENT'S BACKGROUND AND APPROPRIATE INFORMATION WITH OUTPLACEMENT OWNERS, OPERATORS AND SPONSORS.
5. TO EXPEDITE FAMILY INVOLVEMENT IN PLANNING PATIENT CARE AND TO EXPEDITE MOBILIZATION OF COMMUNITY RESOURCES ON BEHALF OF THE PATIENT.
6. AS A RESOURCE IN DIAGNOSIS TREATMENT, PLANNING, PROGNOSIS GOALS AND COMMUNICATION WITH OTHER DISCIPLINES.
7. AS RESOURCE MATERIAL GATHERED BY THE SOCIAL WORKERS USED TO PREPARE NARRATIVE SUMMARIES FOR THE PATIENT'S MEDICAL RECORDS.
8. TO KEEP INFORMED ABOUT SOCIAL SERVICES PROVIDED PATIENTS; PATIENTS PROBLEM AREAS IN THE UNIT FOR PURPOSE OF EVALUATING SERVICES PROVIDED AND NEED FOR ACTION, AND FOR REPORTING TO THE CLINICAL DIRECTORS OR PERSON IN CHARGE OF SERVICE.
9. AS RESOURCE MATERIAL FOR DIAGNOSTIC PLANNING AND IMPLEMENTATION OF TREATMENT PLAN AND DOCUMENTATION OF SERVICES OFFERED.
10. FOR REFERENCE IN ORDER TO COMPLETE SUMMARIES FOR MEDICAL RECORDS; TO HAVE READILY AVAILABLE PERTINENT INFORMATION WITH WHICH TO RESPOND TO PERSONAL AND TELEPHONE CONTACTS; TO PROVIDE NEEDED INFORMATION TO HOSPITAL STAFF, OFFICIALS OF OTHER AGENCIES REPONSIBLE FOR THE PROVISION OF ADJUNCT SERVICES.
11. TO PROVIDE INSERVICE TRAINING FOR CONTINUED PROFESSIONAL DEVELOPMENT.
12. TO PROVIDE HOSPITAL STAFF AND PATIENTS WITH ESSENTIAL INFORMATION FOR SELECTING APPROPRIATE LIVING ARRANGEMENTS FOR PATIENTS IN THE COMMUNITY.
13. TO PROVIDE INFORMATION TO PLACEMENT WORKERS FROM OTHER COMMUNITY SERVICE ORGANIZATIONS IN ORDER TO FACILITATE PATIENT PLACEMENTS AND TO DEVELOP NECESSARY COMMUNITY SUPPORT SERVICES.
14. TO SERVE AS A UNIFORM SYSTEM FOR LOCATION OF STAFF, INDICATION OF QUALIFICATIONS AND AREAS OF RESPONSIBILITY, IN ORDER TO ASSIST IN PROVISION OF RESOURCES (FINANCIAL AND OTHER) TO PATIENTS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. INFORMATION IS ROUTINELY DISCLOSED TO THE FOLLOWING SOURCES FOR THE PURPOSES OF OBTAINING FINANCIAL ASSISTANCE FOR PATIENTS, LOCATING COMMUNITY RECREATION RESOURCES, PROVIDING JOB PLACEMENT AND TRAINING FOR PATIENTS, SECURING ALTERNATIVE PLACEMENTS IN OTHER INSTITUTIONS, PROVIDING EDUCATION, SECURING LIVING AND CARE ARRANGEMENTS AND AIDING IN FOLLOW-UP CARE, AND PROVIDING REQUIRED REPORTS TO COURT, STATE GOVERNMENT OR FEDERAL GOVERNMENT AGENCIES:
   A. FOSTER HOME SPONSORS, CARETAKERS, OWNERS AND OPERATORS OF FACILITIES PROVIDING SERVICES TO PATIENTS
   B. AGENCIES OF THE DISTRICT OF COLUMBIA GOVERNMENT
   C. THE SUPERIOR COURT FOR THE DISTRICT OF COLUMBIA
   D. THE UNITED STATES DISTRICT COURT FOR THE DISTRICT OF COLUMBIA
   E. THE VETERAN'S ADMINISTRATION
   F. THE OFFICE OF PERSONNEL MANAGEMENT
   G. ANCHOR MENTAL HEALTH ASSOCIATION
   H. STATE DEPARTMENTS OF SOCIAL SERVICES THROUGHOUT THE UNITED STATES;
2. INFORMATION DISCLOSED ROUTINELY TO PERSONS, WHO ARE NOT EMPLOYEES OF SEH, ON A NEED TO KNOW BASIS, WHO HAVE A RESPONSIBILITY FOR THE CARE AND TREATMENT OF PATIENTS OF SEH.
3. IN THE EVENT THAT A SYSTEM OF RECORDS MAINTAINED BY THIS AGENCY TO CARRY OUT ITS FUNCTIONS INDICATES A VIOLATION OR POTENTIAL VIOLATION OF LAW, WHETHER CIVIL, CRIMINAL OR REGULATORY IN NATURE, AND WHETHER ARISING BY GENERAL STATUTE OR PARTICULAR PROGRAM STATUTE, OR BY REGULATION, RULE OR ORDER ISSUED PURSUANT THERETO, THE RELEVANT RECORDS IN THE SYSTEM OF RECORDS MAY BE REFERRED, AS A ROUTINE USE, TO THE APPROPRIATE AGENCY, WHETHER FEDERAL (E.G., DEPARTMENT OF JUSTICE), STATE OR LOCAL (E.G., STATE AND LOCAL LICENSING BOARDS) CHARGED WITH THE RESPONSIBLITY OF INVESTIGATING OR PROSECUTING SUCH VIOLATION OR CHARGED WITH ENFORCING OR IMPLEMENTING THE STATUTE, OR RULE, REGULATION OR ORDER ISSUED PURSUANT THERETO.
4. IN THE EVENT THE DEPARTMENT DEEMS IT DESIRABLE OR NECESSARY, IN DETERMINING WHETHER PARTICULAR RECORDS ARE REQUIRED TO BE DISCLOSED UNDER THE FREEDOM OF INFORMATION ACT, DISCLOSURE MAY BE MADE TO THE DEPARTMENT OF JUSTICE FOR THE PURPOSE OF OBTAINING ITS ADVICE.
5. A RECORD FROM THIS SYSTEM OF RECORDS MAY BE DISCLOSED AS A 'ROUTINE USE' TO A FEDERAL, STATE OR LOCAL AGENCY MAINTAINING CIVIL, CRIMINAL OR OTHER RELEVANT ENFORCEMENT RECORDS OR OTHER PERTINENT RECORDS, SUCH AS CURRENT LICENSES, IF NECESSARY TO OBTAIN A RECORD RELEVANT TO AN AGENCY DECISION CONCERNING THE HIRING OR RETENTION OF AN EMPLOYEE, THE ISSUANCE OF A SECURITY CLEARANCE, THE LETTING OF A CONTRACT, OR THE ISSUANCE OF A LICENSE, GRANT OR OTHER BENEFIT.
6. WHERE FEDERAL AGENCIES HAVING THE POWER TO SUBPOENA OTHER FEDERAL AGENCIES' RECORDS, SUCH AS THE INTERNAL REVENUE SERVICE OR THE CIVIL RIGHTS COMMISSION, ISSUE A SUBPOENA TO THE DEPARTMENT FOR RECORDS IN THIS SYSTEM OF RECORDS, THE DEPARTMENT WILL MAKE SUCH RECORDS AVAILABLE.
7. WHERE THE APPROPRIATE OFFICIAL OF THE DEPARTMENT, PURSUANT TO THE DEPARTMENT'S FREEDOM OF INFORMATION REGULATION DETERMINES

THAT IT IS IN THE PUBLIC INTEREST TO DISCLOSE A RECORD WHICH IS OTHERWISE EXEMPT FROM MANDATORY DISCLOSURE, DISCLOSURE MAY BE MADE FROM THIS SYSTEM OF RECORDS.

8. THE DEPARTMENT CONTEMPLATES THAT IT WILL CONTRACT WITH A PRIVATE FIRM FOR THE PURPOSE OF COLLATING, ANALYZING, AGGREGATING OR OTHERWISE REFINING RECORDS IN THIS SYSTEM. RELEVANT RECORDS WILL BE DISCLOSED TO SUCH A CONTRACTOR. THE CONTRACTOR SHALL BE REQUIRED TO MAINTAIN PRIVACY ACT SAFEGUARDS WITH RESPECT TO SUCH RECORDS.

9. A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:

(A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED;

(B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;

(C) HAS REQUIRED THE RECIPIENT TO – (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT – (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW;

(D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

10. DISCLOSURES MAY BE MADE TO ORGANIZATIONS DEEMED QUALIFIED BY THE SECRETARY TO CARRY OUT QUALITY ASSESSMENT, MEDICAL AUDITS OR UTILIZATION REVIEW.

11. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DICIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES INVOLVED IN THE PROCEEDINGS SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.

12. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

13. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: INDEX CARDS, FOLDERS, NOTEBOOKS, FILE CABINETS, DESK DRAWERS, ROLODEX, KARDEX, INDEX BOXES, LOGS, FILE FOLDERS, BOXES, HANGING DESK FILE, MANILLA FOLDERS, WOODEN BOX, AND VERTICAL FILE.

Retrievability: BY PATIENT'S NAME AND STAFF'S NAME.

Safeguards: OFFICES LOCKED, FILE CABINETS LOCKED, DESK DRAWERS LOCKED. MATERIAL AVAILABLE ONLY TO APPROPRIATELY TRAINED STAFF.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR OF SOCIAL SERVICES
A BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: ACTIVE OR DISCHARGED PATIENTS IN THIS SYSTEM OF RECORDS MAY LEARN IF A RECORD EXISTS UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
OFFICE OF THE DIRECTOR OF SOCIAL SERVICES
A BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

(A) FULL NAME;
(B) THE APPROXIMATE DATES OF CONTACT WITH THE HOSPITAL;
(C) THE NATURE OF THE MATERIAL DESIRED;
(D) HOSPITAL NUMBER, IF POSSIBLE.

A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF A CHILD'S/INCOMPETENT PERSON'S RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: PAST AND PRESENT PATIENTS OF SAINT ELIZABETHS HOSPITAL, HOME SPONSORS, CARETAKERS, OWNERS, AND OPERATORS OF FACILITIES PROVIDING SERVICES TO SAINT ELIZABETHS PATIENTS, OTHER EMPLOYEES OF SAINT ELIZABETHS HOSPITAL, EMPLOYEES OF VARIOUS AGENCIES OF THE DISTRICT OF COLUMBIA AND THE UNITED STATES.

Systems exempted from certain provisions of the act: NONE.

09-30-0009

System name: SAINT ELIZABETHS HOSPITAL MULTIDISCIPLINARY RAW DATA CONSULTATION FILES. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location: WIDELY DECENTRALIZED AT SAINT ELIZABETHS HOSPITAL. RAW DATA IS STORED ACCORDING TO LOCATION OF THE CONSULTING DISCIPLINE WITHIN SAINT ELIZABETHS HOSPITAL, WASHINGTON, D.C. 20032. RECORDS ARE STORED AT THE FEDERAL RECORDS CENTER, SUITLAND, MARYLAND.

Categories of individuals covered by the system: PAST AND PRESENT PATIENTS AT SAINT ELIZABETHS HOSPITAL.

Categories of records in the system: RAW TEST DATA, PLUS COPIES OF FORMAL REPORTS BASED ON THE RAW TEST DATA. (THE ORIGINAL REPORTS ARE INCLUDED IN PATIENT'S MEDICAL/CLINICAL RECORD).

Authority for maintenance of the system: 24 USC 161, ET SEQ.; 21 D.C. CODE 562.

Purpose(s):

1. DETAILED REFERENCE BY CONSULTANTS, FOLLOWING CLINICAL REQUESTS FOR REASSESSMENT OR MORE DETAILED INFORMATION OF PATIENTS PREVIOUSLY TESTED.
2. DETAILED COMPARISON OF TEST-RETEST RESULTS IN CASES WHERE CLINICALLY INDICATED OR REQUESTED.
3. OCCASIONAL COMPILATIONS OF SPECIFIC CLINICAL CHARACTERISTICS OF STATISTICAL GROUPINGS, SUCH AS BY DISEASE ENTITY, AGE, SEX, ETC. FOR CLINICAL RESEARCH AND IMPROVEMENT OF CLINICAL REPORTING.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.
2. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FILE FOLDERS AND INDEX CARDS, FILE CABINETS.

Retrievability: EACH CONSULTING DISCIPLINE STORES AND MANAGES ITS OWN FILES. SOME ARE STORED BY PATIENTS' NAMES ALPHABETIZED, SOME BY PATIENTS' NUMBERS, SOME BY OTHER TYPES OF CATEGORIZING, SUCH AS DISEASE CATEGORIES, YEAR CONSULTATION WAS PERFORMED, REFERRING CLINICAL SERVICE, OR AN ARBITRARY NUMERICAL SEQUENCE. THE LATTER USUALLY INVOLVE A CROSS-INDEXING CARD FILE BY PATIENT NAME AND/OR PATIENT NUMBER.

Safeguards: FILES ACCESSIBLE ONLY TO QUALIFIED MEMBERS OF THE CONSULTING STAFF OF THE PARTICULAR DISCIPLINE, AND ARE KEPT IN STAFFED OR OTHERWISE LOCKED OFFICES.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

SUPERINTENDENT
A BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: A PATIENT OR FORMER PATIENT MAY LEARN IF A RECORD EXISTS UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
OFFICE OF SUPERINTENDENT
A BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME;
(B) APPROXIMATE DATES OF ENROLLMENT AT ST. ELIZABETH'S HOSPITAL;
(C) THE NATURE OF THE MATERIAL DESIRED;
(D) IF POSSIBLE, THE NAME OF THE PERSON WHO COLLECTED THE DATA.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF, OR ACCESS TO, A CHILD'S/INCOMPETENT PERSON'S MEDICAL RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: CLINICAL TESTING OF PATIENTS REFERRED FOR CONSULTATION.

Systems exempted from certain provisions of the act: NONE.

09-30-0010

System name: SAINT ELIZABETHS HOSPITAL JUVENILE EDUCATION MONITORING SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

ADMINISTRATION BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Categories of individuals covered by the system: ALL PATIENTS UNDER 18 YEARS OF AGE ON ROLLS OF SAINT ELIZABETHS HOSPITAL.

Categories of records in the system: INPATIENT AND OUTPATIENT EDUCATIONAL RECORDS. THE EDUCATIONAL RECORDS CONTAIN IDENTIFYING DATA, NAME, DATE, AND PLACE OF BIRTH, AGE, SEX, RACE LEGAL CATEGORY, LEAVE AND RESIDENTIAL STATUS, ADMISSION, DISCHARGED DATE, IDENTIFICATION OF RELATIVE, HOSPITAL IDENTIFICATION, EDUCATIONAL INFORMATION, CURRENT FUNCTIONAL LEVEL, EDUCATIONAL ACHIEVEMENT, MEDICAL, NEUROLOGICAL, AND/OR PSYCHOLOGICAL PROBLEMS WITH SIGNIFICANT INFLUENCE, PATIENT ADJUSTMENT TO EDUCATIONAL PROGRAM, PAST/PRESENT ACADEMIC EDUCATIONAL PLAN OR PROGRAM. REPORTS OR NOTES OF OTHERS WHO CONTRIBUTE TO A PATIENT'S EDUCATIONAL DEVELOPMENT.

Authority for maintenance of the system: 24 U.S.C. 161 AND MILLS V. BD. OF EDUCATION OF THE DIST. OF COLUMBIA, 348 F. SUPP. 866 (D.C. D.C. 1972).

Purpose(s):

1. TO MONITOR ACADEMIC EDUCATION PROGRAMS OF PATIENTS UNDER 18 YEARS OF AGE ON ROLLS OF SAINT ELIZABETHS HOSPITAL.
2. TO DOCUMENT A PATIENT'S EDUCATIONAL ACHIEVEMENT, TO PROVIDE FOR CONTINUOUS MONITORING.
3. TO PROVIDE A CONTINUOUS PSYCHO-EDUCATIONAL PROGRAM FOR THE INDIVIDUAL PATIENT, INCLUDING A FOLLOW-UP PROGRAM FOR REFERENCE UPON FUTURE HOSPITALIZATION.
4. FOR USE BY AGENCY PERSONNEL FOR PERIODIC ASSESSMENT OF THE QUALITY OF EDUCATIONAL ACHIEVEMENT.
5. TO ASSIST THE STAFF IN PROVIDING FOR A PATIENT'S EDUCATIONAL NEEDS.
6. TO OCCASIONALLY PROVIDE THE BASIS FOR ACTION IN THE COURSE OF EMPLOYEE DISCIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS.
7. TO FACILITATE TEACHING PROGRAMS AND SCIENTIFIC RESEARCH; TO FURTHER KNOWLEDGE IN THE AREAS OF DIAGNOSIS AND TREATMENT, COMPARATIVE STUDIES AND SPECIAL EDUCATIONAL PROGRAMS.
8. INDEXES BASED ON THE EDUCATIONAL RECORDS ARE ROUTINELY USED FOR: A. SPEEDY IDENTIFICATION AND LOCATION OF SPECIFIC PATIENTS; B. MONITORING THE COMPLETENESS OF PATIENT-EDUCATIONAL RECORDS, PARTICULARLY THOSE UNDER 18; C. MONITORING THE CHANGING STATUS OF PATIENTS, EITHER IN TERMS OF TRANSFERS WITHIN THE HOSPITAL OR OUTSIDE THE HOSPITAL; D. EASY IDENTIFICATION OF BASIC DEMOGRAPHIC DATA USED FOR STATISTICAL AND/OR RESEARCH PURPOSES; E. QUICK REVIEW OF CURRENT TREATMENT REGIMEN IN INDIVIDUAL CASES.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

2. DISCLOSURES MAY BE MADE IN ROUTINE REPORTS PREPARED FOR D.C. SCHOOL BOARD PERSONNEL.

3. DISCLOSURES MAY BE MADE ON PATIENT'S BEHALF, IN MATTERS SUCH AS EDUCATIONAL ACHIEVEMENT NEEDS, TO THIRD PARTIES WHOSE INVOLVEMENT WOULD BE OF BENEFIT TO THE PATIENT, SUCH AS TO D.C. SCHOOL BOARD PERSONNEL FOR STUDENTS WITH SPECIALIZED EDUCATIONAL PLACEMENT NEEDS.

4. DISCLOSURES MAY BE MADE TO COURTS OF LOCAL JURISDICTIONS IN MANDATORY REPORTS UNDER FEDERAL AND LOCAL LAW.

5. INFORMATION MAY BE TRANSMITTED TO THE DEPARTMENT OF SPECIAL EDUCATION OF THE DISTRICT OF COLUMBIA PUBLIC SCHOOL SYSTEM, TO ASSIST IN COORDINATING EDUCATIONAL EFFORTS AS MANDATED BY MILLS V. BOARD OF EDUCATION OF D.C., 348 F. SUPP. 866 (D.C.D.C. 1972).

6. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: RECORDS ARE IN THE ADMINISTRATION BUILDING. FILE FOLDERS WITH GENERAL EDUCATIONAL RECORD AND CORRESPONDENCE FILES ARE KEPT IN METAL FILE CABINETS. INDEX CARDS, MONITORING CARDS, KARDEX ARE IN THEIR APPROPRIATE CONTAINERS.

Retrievability: INDEX BY PATIENT'S NAME, HOSPITAL NUMBER, DIVISION.

Safeguards:

1. AVAILABLE ONLY TO PROPERLY TRAINED AND SCREENED PERSONNEL.
2. ACCESS LIMITED TO AUTHORIZED PERSONNEL ONLY. ENFORCED BY SECURITY PERSONNEL. ROOMS ARE LOCKED WHEN UNOCCUPIED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

ASSOCIATE DIRECTOR FOR PSYCHOLOGY
ADMINISTRATION BUILDING, ROOM 308
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
OFFICE OF THE ASSOCIATE DIRECTOR FOR PSYCHOLOGY
A BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME AND HOME ADDRESS
(B) APPROXIMATE DATES OF ENROLLMENT AT SAINT ELIZABETHS HOSPITAL
(C) DIVISION WHERE TREATMENT IS OR WAS PROVIDED, AND EDUCATION LEVEL
(D) THE NATURE OF THE MATERIAL DESIRED

A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF A CHILD'S/INCOMPETENT PERSON'S RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: EDUCATIONAL RECORDS: A COMPILATION OF SOCIOLOGICAL, MEDICAL AND HISTORICAL DATA OF A PATIENT. THE INFORMATION RECORDED AS GIVEN BY THE PATIENT, HIS RELATIVES, OR OTHER THIRD PERSONS INTERESTED IN THE PATIENT; FROM EXISTING RECORDS USED AS REFERENCE; FROM EDUCATIONAL TESTS, SUCH AS TESTS ADMINISTERED BY PHYSICIANS, PSYCHIATRISTS, TEACHERS, SOCIAL WORKER; OTHER THERAPISTS WHO ENTERED THEIR

OBSERVATIONS AND ASSESSMENT BY MEANS OF PROGRESS NOTES, REPORTS ETC.

Systems exempted from certain provisions of the act: NONE.

09-30-0011

System name: SAINT ELIZABETHS HOSPITAL CENTRAL ADMISSION SERVICE NON-ADMISSION FILE SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

CENTRAL ADMISSION SERVICE
DIX BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Categories of individuals covered by the system: INDIVIDUALS WHO HAVE PRESENTED THEMSELVES AT THE CENTRAL ADMISSION SERVICE BUT WHO WERE NOT ADMITTED TO THE ROLLS OF SAINT ELIZABETHS HOSPITAL.

Categories of records in the system: PERSONAL IDENTIFYING DATA COLLECTED DURING ADMISSIONS SCREENING INTERVIEW, INFORMATION FROM PREVIOUS HOSPITALIZATIONS OF CLINIC ENROLLMENT, AND INFORMATION ABOUT INDIVIDUALS COLLECTED FROM TELEPHONE CONVERSATIONS WITH INTERESTED PERSONS.

Authority for maintenance of the system: 24 U.S.C. 161, ET SEQ.; 21 D.C. CODE 501, ET SEQ.

Purpose(s):

TO PROVIDE ADDITIONAL SCREENING MATERIAL IN CASES OF REPEATED APPLICATIONS FOR ADMISSION OF THE SAME PATIENT.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: PAPER FORMS MAINTAINED IN FILE CABINETS.

Retrievability: FILED ALPHABETICALLY BY NAME.

Safeguards: ACCESS LIMITED TO AUTHORIZED PERSONNEL ONLY, ENFORCED BY SECURITY FORCE. ROOMS LOCKED WHEN UNOCCUPIED. ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR, CENTRAL ADMISSIONS SERVICE
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: A PERSON DENIED ADMISSION MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO

PRIVACY ACT COORDINATOR
OFFICE OF THE DIRECTOR
CENTRAL ADMISSIONS SERVICE
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME;
(B) APPROXIMATE DATE THE PERSON SOUGHT ADMISSION;
(C) THE NATURE OF THE MATERIAL DESIRED.

A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF A CHILD'S/INCOMPETENT PERSON'S RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: INTERVIEWS WITH PERSONS APPLYING FOR ADMISSION BUT ULTIMATELY NOT ADMITTED, HOSPITAL RECORDS OF PRIOR ADMISSIONS, AND INFORMATION PROVIDED BY OTHER PERSONS RELATED TO OR INTERESTED IN THE PERSON SEEKING ADMISSION.

Systems exempted from certain provisions of the act: NONE.

09-30-0012

System name: SAINT ELIZABETHS HOSPITAL PRE-SERVICE EDUCATION RECORDS. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032
AND FEDERAL RECORDS CENTER
SUITLAND, MARYLAND

Categories of individuals covered by the system: STUDENTS AND TRAINEES IN MEDICAL AND NONMEDICAL MENTAL HEALTH EDUCATION PROGRAMS, INCLUDING PERSONS WHO RECEIVE STIPENDS AND THOSE WHO DO NOT.

Categories of records in the system: RECORD CATEGORIES INCLUDE: (1) APPLICATION DATA INCLUDING TRANSCRIPTS, REFERENCES, SPECIAL HEALTH RECORDS WHERE INDICATED, EVALUATION OF PRIOR TRAINING OR EDUCATION; (2) ASSESSMENT AND EVALUATION DATA REGARDING EDUCATIONAL EXPERIENCES AT SEH; AND (3) CORRESPONDENCE.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTION 301(42 U.S.C. 241).

Purpose(s):

RECORDS ARE USED FOR: EVALUATION FOR SELECTION AND APPOINTMENT; SUPERVISORY GUIDANCE AND ASSESSMENT; REFERENCE REQUESTS; SPECIALIZED TEACHING RESOURCES, PROGRAM EVALUATION AND HISTORICAL RESEARCH.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO ORGANIZATIONS DEEMED QUALIFIED BY THE SECRETARY TO CARRY OUT QUALITY ASSESSMENT, MEDICAL AUDITS, OR UTILIZATION REVIEW.

2. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DISCIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES INVOLVED IN THE PROCEEDINGS SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.

3. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETER-

MINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: WRITTEN DOCUMENTS IN FILE FOLDERS AND FILING CABINETS; AUDIO AND VIDEO TAPE REELS IN STORAGE CABINETS.

Retrievability: SYSTEM IS FILED BY NAME OF INDIVIDUAL, DATES OF TRAINING, DISCIPLINARY AREA IN WHICH TRAINING WAS RECEIVED, PRIMARY SUPERVISOR, AND WHETHER THE TRAINING WAS STIPENDED OR NON-STIPENDED.

Safeguards: RECORDS ARE MAINTAINED IN MONITORED OFFICES AND ARE ONLY AVAILABLE TO PERSONS AUTHORIZED TO USE RECORDS FOR THE PURPOSES FOR WHICH THEY WERE COLLECTED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR, OVERHOLSER DIVISION OF TRAINING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: INDIVIDUAL STUDENT OR TRAINEE MAY LEARN IF A PRE-SERVICE EDUCATION RECORD EXISTS UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
OFFICE OF DIRECTOR
OVERHOLSER DIVISION OF TRAINING,
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL THE FOLLOWING IDENTIFYING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME;
(B) INCLUSIVE DATES OF TRAINING;
(C) SPECIFIC DISCIPLINARY AREA IN WHICH TRAINING WAS RECEIVED AND ORGANIZATIONAL UNIT WHERE ASSIGNED;
(D) NAME OF PRIMARY SUPERVISOR;
(E) STATUS IN TERMS OF STIPENDED OR NON-STIPENDED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: INFORMATION IS OBTAINED FROM THE INDIVIDUAL TRAINEE OR STUDENT, PERSONS SUPPLYING REFERENCE DATA, SUPERVISORY AND ADMINISTRATIVE PERSONNEL, AND OTHER PERSONS DIRECTLY INVOLVED WITH THE INDIVIDUAL'S EDUCATIONAL PROGRAM.

Systems exempted from certain provisions of the act: NONE.

09-30-0013

System name: SAINT ELIZABETHS HOSPITAL TRAINING VIDEOTAPE RECORDS. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Categories of individuals covered by the system: SEH PATIENTS, TRAINEES AND STAFF OF SEH.

Categories of records in the system: VIDEOTAPES OF INTERVIEWS, ACTIVITIES, OR OTHER INTERACTIONS BETWEEN SEH PATIENTS AND PROFESSIONAL TRAINEES AND STAFF OF SEH; AUTHORIZATIONS (INFORMED CONSENT) SIGNED BY PATIENTS.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTION 301(42 U.S.C. 241).

Purpose(s):

TRAINING AND EDUCATION OF STAFF.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:
(A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED;
(B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;
(C) HAS REQUIRED THE RECIPIENT TO – (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT – (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW;
(D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

2. DISCLOSURE MAY BE MADE TO ORGANIZATIONS DEEMED QUALIFIED BY THE SECRETARY TO CARRY OUT QUALITY ASSESSMENT, MEDICAL AUDITS OR UTILIZATION REVIEW.

3. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

4. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT

OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: VIDEOTAPE REELS, AUTHORIZATIONS RETAINED IN FILE FOLDERS.

Retrievability: NAME OF PATIENT, NAME OF INTERVIEWER.

Safeguards: LOCKED FILES IN MONITORED OFFICES.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR, OVERHOLSER DIVISION OF TRAINING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D,C. 20032

Notification procedure: AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
OFFICE OF THE DIRECTOR, OVERHOLSER DIVISION OF TRAINING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME;
(B) APPROXIMATE DATA OF VIDEOTAPING;
(C) NAME OF INTERVIEWER;
(D) THE CAPACITY IN WHICH THE REQUESTER HAD CONTACT WITH THE HOSPITAL; E.G., PATIENT, STAFF MEMBER, TRAINEE;
(E) IF POSSIBLE, IN THE CASE OF PATIENTS, THE HOSPITAL NUMBER;
(F) LOCATION OF UNIT WHERE VIDEOTAPING OCCURRED.

A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF A CHILD'S/INCOMPETENT PERSON'S RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: SEH PATIENTS, TRAINEES AND STAFF.

Systems exempted from certain provisions of the act: NONE.

09-30-0014

System name: SAINT ELIZABETHS HOSPITAL FINANCIAL SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

FINANCE OFFICE
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032
AND
FEDERAL RECORDS CENTER
SUITLAND, MARYLAND

Categories of individuals covered by the system: PRESENT AND FORMER EMPLOYEES AND PATIENTS.

Categories of records in the system: DEPOSITS; RECEIPTS; DISBURSEMENTS; BALANCES; NCR LEDGER CARDS; VOUCHERS; INFORMATION ON EXPENSES OF TRAVEL AND EDUCATION; BILLINGS; BACKGROUND HISTORY; REIMBURSEMENT CLAIMS; INDUSTRIAL THERAPY PROGRAM DATA: INTERNAL REVENUE SERVICE FORM W-4 AND D.C. GOVERNMENT FORM D-4, PAYROLL SUMMARY SHEETS AND INDIVIDUAL PATIENT LEDGER CARDS FOR PATIENT WORKERS IN PATIENT WORKER INDUSTRIAL THERAPY PROGRAM (PWITP), AND INDEBTEDNESS LETTERS.

Authority for maintenance of the system: HOSPITALIZATION OF THE MENTALLY ILL ACT, 21 DC CODE 511 ET SEQ.; 24 U.S.C. 165 AND 166; 31 U.S.C. 66A AND 628A.

Purpose(s):

TO RECORD EXPENDITURES AND REIMBURSEMENTS FOR SERVICES AND GOODS AND ALL OTHER FINANCIAL TRANSACTIONS CONSISTENT WITH THE MANAGEMENT OF THE HOSPITAL. INFORMATION IN THESE RECORDS IS ALSO USED WITHIN THE FINANCE OFFICE TO DETERMINE THE AMOUNT OF PAY A PATIENT EARNS FOR HIS INDUSTRIAL THERAPY ASSIGNMENT, AND FOR COMPLETING PATIENTS' TIME SHEETS, PAYROLL SUMMARY SHEETS, INCOME TAX WITHHOLDING FORMS, AND MONTHLY OR QUARTERLY EARNINGS AND TAX RETURNS.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

2. DISCLOSURES MAY BE MADE IN ORDER TO PAY TRAVEL CLAIMS AND EDUCATIONAL INSTITUTIONS EXPENSES; TO COLLECT FROM THE D.C. GOVERNMENT AND FEDERAL AGENCIES FOR CARE AND TREATMENT; AND TO COLLECT FOR QUARTERS, LOST OR DAMAGED PROPERTY & OTHER INDEBTEDNESS TO THE GOVERNMENT.

3. DISCLOSURES MAY BE MADE TO REFERENCES FOR OUTSIDE EMPLOYMENT, TO REFERRAL SOURCES FOR DETERMINING IF JOB PLACEMENT MEETS A PATIENT'S THERAPEUTIC NEEDS, AND TO OUTSIDE AGENCIES IN ORDER TO OBTAIN REFERRALS.

4. DISCLOSURES MAY BE MADE TO PROSPECTIVE EMPLOYERS AND OTHER SIMILAR RECIPIENTS AS EVIDENCE OF THE INDIVIDUAL'S INCREASED RESPONSIBILITY, AND TO FOLLOWUP REASONS FOR A PATIENT'S ABSENCE FROM HIS INDUSTRIAL THERAPY ASSIGNMENTS.

5. IN THE EVENT THAT A SYSTEM OF RECORDS MAINTAINED BY THIS AGENCY TO CARRY OUT ITS FUNCTIONS INDICATES A VIOLATION OR POTENTIAL VIOLATION OF LAW, WHETHER CIVIL, CRIMINAL OR REGULATORY IN NATURE, OR BY REGULATION, RULE OR ORDER ISSUED PURSUANT THERETO, THE RELEVANT RECORDS IN THE SYSTEM OF RECORDS MAY BE REFERRED, AS A ROUTINE USE, TO THE APPROPRIATE AGENCY, WHETHER FEDERAL (E.G., DEPARTMENT OF JUSTICE), STATE OR LOCAL (E.G., STATE AND LOCAL LICENSING BOARDS), CHARGED WITH THE RESPONSIBILITY OF INVESTIGATING OR PROSECUTING SUCH VIO-

LATION OR CHARGED WITH ENFORCING OR IMPLEMENTING THE STATUTE, OR RULE, REGULATION OR ORDER ISSUED PURSUANT THERETO.

6. WHERE FEDERAL AGENCIES HAVING THE POWER TO SUBPOENA OTHER FEDERAL AGENCIES' RECORDS, SUCH AS THE INTERNAL REVENUE SERVICE OR THE CIVIL RIGHTS COMMISSION, ISSUE A SUBPOENA TO THE DEPARTMENT FOR RECORDS IN THIS SYSTEM OF RECORDS, THE DEPARTMENT WILL MAKE SUCH RECORDS AVAILABLE.

7. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FILE FOLDERS IN METAL FILING CABINETS, INDEX CARDS, AND IBM CARDS.

Retrievability: VOUCHER DATE AND NUMBER; NUMERICALLY (RECEIPTS FOR PATIENT'S FUNDS); ALPHABETICALLY BY NAME; HEALTH INSURANCE NUMBER AND HOSPITAL CASE NUMBER (HEALTH INSURANCE RECORDS); BILL NUMBER (FOR BILLINGS).

Safeguards: ACCESS IS LIMITED TO PERSONNEL WHO PROCESS THE DATA. OFFICES ARE LOCKED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

FINANCE OFFICER
ADMINISTRATION BUILDING
ST. ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
FINANCE OFFICE
SAINT ELIZABETHS HOSPITAL WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME;
(B) DATES OF THE CONTACT WITH SAINT ELIZABETHS HOSPITAL;
(C) THE BRANCH, DIVISION, OR OFFICE WITH WHICH THE REQUESTOR HAD CONTACT;
(D) THE CAPACITY IN WHICH THE REQUESTOR HAD CONTACT WITH THE HOSPITAL, E.G., PATIENT, EMPLOYEE, VENDOR, REPRESENTATIVE OF PROFESSIONAL ORGANIZATION, ETC;
(E) THE NATURE OF THE MATERIAL DESIRED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: PATIENT NAME PLATES, PATIENT'S ACCOUNTS, RECEIPTS FOR PATIENTS' FUNDS (GENERATED WHEN CASH OR OTHER FUNDS ARE ACCEPTED FROM A PATIENT), PATIENTS' PAYROLL DATA FROM THE INDUSTRIAL THERAPY SECTION.

PATIENTS' CLINICAL RECORDS, INTERVIEWS WITH WARD STAFF, PATIENT AND WORK SUPERVISOR. PATIENT VOUCHERS FROM PATIENT, EMPLOYEES, FINANCE SECTION, PERSONNEL BRANCH, AGENCY CASHIER, PATIENTS' RELATIVES, COMMITTEES, CONSERVATORS AND OTHER GOVERNMENT AGENCIES. PATIENTS' ACCOUNT DATA FROM THE AGENT CASHIER.

HEALTH INSURANCE DATA FROM THE PATIENT'S MEDICAL RECORD, SOCIAL SECURITY ADMINISTRATION, RELATIVES AND CONSERVATORS, AND REGISTRAR.

BILLINGS FOR CARE AND TREATMENT, QUARTERS, ETC. AND INDEBTEDNESS TO THE GOVERNMENT, BIOMETRICS BRANCH, HOUSEKEEPING SECTION, AGENT CASHIER, AND ADMINISTRATIVE SERVICES SECTION.

Systems exempted from certain provisions of the act: NONE.

09-30-0015

System name: SAINT ELIZABETHS HOSPITAL GENERAL SECURITY SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

SECURITY HEADQUARTERS
ALLISON-B BUILDING
ST. ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032
AND
FEDERAL RECORDS CENTER
SUITLAND, MARYLAND AND VISITORS.

Categories of records in the system: IDENTIFYING INFORMATION INCLUDING ONE OR MORE OF NAME, HOSPITAL NUMBER, PHOTO, KEY NUMBER, VEHICLE STICKER NUMBER, AUTHORIZATION TO ADMIT, DATES AND TIMES OF VISITS, ADDRESSES AND OTHER PERSONAL DATA.

Authority for maintenance of the system: 24 U.S.C. 161, ET SEQ.;

Purpose(s):

TO MONITOR AUTHORIZED ACCESS AND EXIT OF INDIVIDUALS AND VEHICLES TO AND FROM BUILDINGS AND GROUNDS OF HOSPITAL: ACCOUNTABILITY OF BUILDING AND ROOM KEY ASSIGNMENTS AND VEHICLE STICKER ASSIGNMENTS; IDENTIFICATION FOR SEARCH OF MISSING PERSONS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. IN THE EVENT THAT A SYSTEM OF RECORDS MAINTAINED BY THIS AGENCY TO CARRY OUT ITS FUNCTIONS INDICATES A VIOLATION OR POTENTIAL VIOLATION OF LAW, WHETHER CIVIL, CRIMINAL OR REGULATORY IN NATURE OR BY REGULATION, RULE OR ORDER ISSUED PURSUANT THERETO, THE RELEVANT RECORDS IN THE SYSTEM OF RECORDS MAY BE REFERRED, AS A ROUTINE USE, TO THE APPROPRIATE AGENCY, WHETHER FEDERAL (E.G., DEPARTMENT OF JUSTICE), STATE OR LOCAL (E.G., STATE OR LOCAL LICENSING BOARDS), CHARGED WITH THE RESPONSIBLITY OF INVESTIGATING OR PROSECUTING SUCH VIOLATION OR CHARGED WITH ENFORCING OR IMPLEMENTING THE STATUTE, OR RULE, REGULATION OR ORDER ISSUED PURSUANT THERETO.

2. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DICIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.

3. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT

OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: INDEX CARDS, FILE FOLDERS, PICTURE FILES.

Retrievability: NAME, HOSPITAL NUMBER, STICKER AND KEY NUMBER, AND CHRONOLOGICALLY.

Safeguards: 24-HOUR SECURITY GUARD.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

CAPTAIN, SECURITY FORCE
ST. ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: A PATIENT, FORMER PATIENT, EMPLOYEE, FORMER EMPLOYEE, RELATIVE OF PATIENT, VOLUNTEER OR VISITOR MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF, UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
SECURITY FORCE
ST. ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME; HOSPITAL;
(C) THE APPROXIMATE DATES OF CONTACT WITH THE HOSPITAL;
(D) THE NATURE OF THE MATERIAL DESIRED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: HOSPITAL STAFF, MEDICAL RECORDS, PATIENTS AND RELATIVES OF PATIENTS.

Systems exempted from certain provisions of the act: NONE.

09-30-0016

System name: SAINT ELIZABETHS HOSPITAL PATIENTS' PERSONAL PROPERTY RECORD SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

PATIENTS PROPERTY UNIT
GLENSIDE BUILDING
SAINT ELIZABETHS HOSPITAL
WASH., D.C. 20032

AND
FEDERAL RECORDS CENTER
SUITLAND, MARYLAND

Categories of individuals covered by the system: FORMER AND CURRENT PATIENTS.

Categories of records in the system: 1. INVENTORY OF PATIENTS PRIVATE PROPERTY ON ADMISSION, NEWLY ACQUIRED PROPERTY, RELEASED PROPERTY, AND UNCLAIMED PROPERTY. 2. COMMENTS ON CONDITION OF PRIVATE PROPERTY, DAMAGES, LOST AND STORAGE STATUS. 3. RECEIPTS OF AUTHORIZATIONS FOR PURCHASES AND VENDORS' RECEIPTS.

Authority for maintenance of the system: 24 U.S.C. 161, ET SEQ.

Purpose(s):

DOCUMENTING ENTRIES AND RELEASES OF PERSONAL PROPERTY; ACCOUNTING AND VERIFYING DOCUMENTED INVENTORIES AND PURCHASES; INTERNAL REFERRALS BY PATIENT PROPERTY OFFICE STAFF AND LEGALLY APPOINTED ADMINISTRATORS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

2. IN THE EVENT THAT A SYSTEM OF RECORDS MAINTAINED BY THIS AGENCY TO CARRY OUT ITS FUNCTIONS INDICATES A VIOLATION OR POTENTIAL VIOLATION OF LAW, WHETHER CIVIL, CRIMINAL OR REGULATORY IN NATURE, OR BY REGULATION, RULE OR ORDER ISSUED PURSUANT THERETO, THE RELEVANT RECORDS IN THE SYSTEM OF RECORDS MAY BE REFERRED, AS A ROUTINE USE, TO THE APPROPRIATE AGENCY, WHETHER FEDERAL (E.G., DEPARTMENT OF JUSTICE), STATE OR LOCAL (E.G., STATE AND LOCAL LICENSING BOARDS), CHARGED WITH THE RESPONSIBILITY OF INVESTIGATING OR PROSECUTING SUCH VIOLATION OR CHARGED WITH ENFORCING OR IMPLEMENTING THE STATUTE, OR RULE, REGULATION OR ORDER ISSUED PURSUANT THERETO.

3. WHERE THE APPROPRIATE OFFICIAL OF THE DEPARTMENT, PURSUANT TO THE DEPARTMENT'S FREEDOM OF INFORMATION REGULATION, DETERMINES THAT IT IS IN THE PUBLIC INTEREST TO DISCLOSE A RECORD WHICH IS OTHERWISE EXEMPT FROM MANDATORY DISCLOSURE, DISCLOSURE MAY BE MADE FROM THIS SYSTEM OF RECORDS.

4. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DISCIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES INVOLVED IN THE PROCEEDINGS SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.

5. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: POLDERS AND CARDS.

Retrievability: BY NAME, ALPHABETIZED.

Safeguards: ONLY PATIENT PROPERTY STAFF USE FILES. AT NIGHT OFFICE IS LOCKED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

SUPERVISORY STORAGE MANAGEMENT SPECIALIST
PATIENTS PROPERTY UNIT
GLENSIDE BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: A PATIENT OR FORMER PATIENT MAY LEARN IF A RECORD EXISTS UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH A SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
PROPERTY UNIT
GLENSIDE BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING DATA MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME;
(B) APPROXIMATE DATES OF ENROLLMENT AT SAINT ELIZABETHS HOSPITAL;
(C) IF POSSIBLE, THE PATIENT'S HOSPITAL NUMBER;
(D) THE NATURE OF THE MATERIAL DESIRED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: ADMISSION REPORT LISTS, WARD REPORTS, PATIENTS' CORRESPONDENCE FILES.

Systems exempted from certain provisions of the act: NONE.

09-30-0017

System name: SAINT ELIZABETHS HOSPITAL LEGAL OFFICE RECORD SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

LEGAL ADVISOR'S OFFICE
ADMINISTRATION BUILDING
SAINT ELIZABETHS HOSPITAL
WASH., D.C. 20032

Categories of individuals covered by the system: FORMER AND CURRENT PATIENTS AND EMPLOYEES.

Categories of records in the system: INFORMATION CONCERNING THE LEGAL STATUS AND ASPECTS OF FORMER AND CURRENT PATIENTS AND EMPLOYEES.

Authority for maintenance of the system: 42 U.S.C. 3504.

Purpose(s):

TO DETERMINE, MONITOR, AND FOLLOW UP LEGAL STATUS, RIGHTS, AND PROBLEMS OF INDIVIDUAL EMPLOYEES AND PATIENTS. USED AS RESOURCE MATERIAL IN PREPARATION FOR CIVIL ACTIONS OR PROCEEDINGS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURES MAY BE MADE IN NEGOTIATIONS WITH U.S. ATTORNEY'S OFFICE, D.C. COURTS, MENTAL HEALTH COMMISSION, CORPORATION COUNSEL, JUSTICE DEPARTMENT, ATTORNEYS AND OTHERS CONCERNED WITH THE LEGAL CONSIDERATIONS OF PATIENTS AND EMPLOYEES.

2. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

3. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FILE FOLDERS AND INDEX CARDS.

Retrievability: PATIENT OR EMPLOYEE NAME.

Safeguards: ACCESS RESTRICTED TO LEGAL OFFICE STAFF. LOCKED AT NIGHT.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

LEGAL ADVISOR
ADMINISTRATION BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF, SUBJECT TO THE LIMITATIONS OF 5 USC 552A(D)(5), UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF THE REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
LEGAL ADVISOR'S OFFICE
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032
ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME;
(B) THE CAPACITY IN WHICH THE REQUESTOR HAD CONTACT WITH ST. ELIZABETHS HOSPITAL;
(C) THE APPROXIMATE DATES OF CONTACT WITH THE HOSPITAL;
(D) THE NATURE OF THE MATERIAL DESIRED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: PATIENT RECORDS, COMMITMENT FOLDERS, STAFF REPORTS, AUDITORS OFFICE OF D.C. SUPERIOR COURT, COURT SYSTEM OF D.C., MENTAL HEALTH COMMISSION U.S. ATTORNEY'S OFFICE, CORPORATION COUNSEL AND PRIVATE ATTORNEYS.

Systems exempted from certain provisions of the act: NONE.

09-30-0018

System name: SAINT ELIZABETHS HOSPITAL AREA D COMMUNITY MENTAL HEALTH CENTER CITIZENS ADVISORY GROUP RECORDS. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

COMMUNITY MENTAL HEALTH CENTER
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Categories of individuals covered by the system: MEMBERS OF CITIZENS ADVISORY COMMITTEE, AGENCIES, ORGANIZATIONS, SCHOOL STUDENTS AND CITIZENS INTERESTED IN CMHC ACTIVITIES.

Categories of records in the system: NAMES, ADDRESSES, TELEPHONE NUMBERS, OCCUPATIONS, TRANSMITTAL LETTERS AND VARIOUS MEMORANDA.

Authority for maintenance of the system: MENTAL RETARDATION FACILITIES AND COMMUNITY MENTAL HEALTH CENTERS CONSTRUCTION ACT OF 1963 (42 U.S.C. 2661 ET SEQ.).

Purpose(s):

TO MAINTAIN A DIRECTORY OF PERSONS AND ORGANIZATIONS AND A FILE OF COMMUNICATIONS WITH THOSE WHO ACT IN AN ADVISORY CAPACITY TO AREA D COMMUNITY MENTAL HEALTH CENTER.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. MAILING LISTS WITH NAMES AND ADDRESSES ARE EXCHANGED WITH AREA D CITIZENS GROUPS.

2. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

3. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FILE FOLDERS, INDEX CARDS AND PAPER TAPES IN CABINETS.

Retrievability: BY NAME.

Safeguards: ACCESS IS LIMITED TO AUTHORIZED PERSONNEL ONLY. ALL PERSONNEL SCREENED. FILES LOCKED AFTER BUSINESS HOURS.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

ASSOCIATE DIRECTOR FOR COMMUNITY LIAISON
AND PUBLIC EDUCATION
AREA D - CMHC, R BUILDING
ST. ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO:

PRIVACY ACT COORDINATOR
ASSOC. DIRECTOR FOR COMMUNITY LIAISON AND
PUBLIC EDUCATION
COMMUNITY MENTAL HEALTH CENTER
ST. ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION:
(A) FULL NAME;
(B) CAPACITY IN WHICH REQUESTOR HAD CONTACT WITH THE CMHC AREA D CITIZEN ADVISORY GROUP;
(C) NATURE OF INFORMATION DESIRED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: INFORMATION IS VOLUNTARILY WRITTEN ON SIGN-IN SHEETS AT VARIOUS COMMUNITY MEETINGS AND SOLICITED THROUGH SURVEYS.

Systems exempted from certain provisions of the act: NONE.

09-30-0019

System name: SAINT ELIZABETHS HOSPITAL COURT-ORDERED FORENSIC INVESTIGATORY MATERIALS FILE. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location: ACTIVE PATIENTS:

SAINT ELIZABETHS HOSPITAL
JOHN HOWARD PAVILION
WASHINGTON, D.C. 20032

INACTIVE PATIENTS (DISCHARGED OR DECEASED): IN THE BASEMENT OF DIX BUILDING, SAINT ELIZABETHS HOSPITAL; AND INACTIVE PATIENT RECORDS OLDER THAN FOUR YEARS ARE STORED IN THE FEDERAL RECORDS CENTER IN SUITLAND, MARYLAND.

Categories of individuals covered by the system: PAST AND PRESENT PATIENTS COMMITTED TO SAINT ELIZABETHS HOSPITAL PURSUANT TO THE DISTRICT OF COLUMBIA AND UNITED STATES CRIMINAL CODES. INCLUDED ARE ALLEGED CRIMINAL OFFENDERS SENT FOR PRE-TRIAL EXAMINATION; PERSONS COMMITTED AFTER HAVING BEEN FOUND NOT GUILTY BY REASON OF INSANITY; AND MENTALLY ILL SENTENCED PRISONERS TRANSFERRED FROM PENAL INSTITUTIONS.

Categories of records in the system: COURT ORDERS; CRIMINAL RECORDS; POLICE REPORTS; REPORTS FROM THE FBI AND THE SECRET SERVICE; PRISON RECORDS; REPORTS FROM THE UNITED STATES ATTORNEY AND/OR CORPORATION COUNSEL; CORRESPONDENCE FROM COURTS, DEFENSE ATTORNEYS AND PROSECUTORS; PROBATION AND PAROLE REPORTS; AND, CORRESPONDENCE FROM SAINT ELIZABETHS HOSPITAL TO THE COURTS, PROSECUTION, DEFENSE AND CORRECTIONAL AUTHORITIES.

Authority for maintenance of the system: 24 D.C. CODE SECTIONS 301(A), 301(B), 301(D), 302; 24 U.S.C. 161 AND 211 ET SEQ.

Purpose(s):

TO AID IN EVALUATION OF PATIENTS REGARDING THEIR COMPETENCY AND CRIMINAL RESPONSIBILITY, TO AID IN TREATMENT OF CRIMINALLY COMMITTED PATIENTS, AND TO COMPLY WITH COURT-ORDERED REPORTING.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. PSYCHIATRIC EVALUATIONS BASED IN PART ON THIS RECORD ARE FORWARDED TO REFERRING COURTS, PURSUANT TO ORDER, WITH COPIES TO DEFENSE AND PROSECUTING ATTORNEYS.

2. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: STORED IN FILE FOLDERS IN FILE CABINETS.

Retrievability: RETRIEVED BY NAME AND HOSPITAL NUMBER.

Safeguards: AVAILABLE ONLY TO PROPERLY TRAINED AND SCREENED PERSONNEL. ACCESS LIMITED TO AUTHORIZED INDIVIDUALS ONLY. ENFORCED BY SECURITY PERSONNEL. ROOMS ARE LOCKED WHEN UNOCCUPIED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

CHIEF, PRE-TRIAL SECTION OR
CHIEF, POST-TRIAL SECTION
DIVISION OF FORENSIC PROGRAMS
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. AN INDIVIDUAL WHO REQUESTS NOTIFICATION OF, A MEDICAL RECORD SHALL, AT THE TIME THE REQUEST IS MADE, DESIGNATE IN WRITING A RESPONSIBLE REPRESENTATIVE WHO WILL BE WILLING TO REVIEW THE RECORD AND INFORM THE SUBJECT INDIVIDUAL OF ITS CONTENTS AT THE REPRESENTATIVE'S DISCRETION.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT. ACCESS TO RECORD SYSTEMS WHICH HAVE BEEN GRANTED AN EXEMPTION FROM THE PRIVACY ACT ACCESS REQUIREMENT MAY BE MADE AT THE DISCRETION OF THE SYSTEM MANAGER. APPEAL OF ACCESS REFUSAL MAY BE MADE TO THE ADMINISTRATOR, ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION.

Contesting record procedures: IF ACCESS HAS BEEN GRANTED, CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION BEING CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: COURTS, POLICE DEPARTMENT, FBI, SECRET SERVICE, PRISONS, U. S. ATTORNEY, CORPORATION COUNSEL, DEFENSE ATTORNEYS, PROSECUTING ATTORNEYS, AND CORRECTIONAL AUTHORITIES.

Systems exempted from certain provisions of the act: EXEMPTION FROM NOTIFICATION, RECORD ACCESS AND CONTEST PROVISIONS GRANTED UNDER (J)(2) OF THE PRIVACY ACT.

09-30-0030

System name: ADMINISTRATIVE RECORDS ON CIVILLY COMMITTED DRUG ABUSERS UNDER THE NARCOTIC ADDICT REHABILITATION ACT. HHS/ADAMHA/NIDA.

Security classification: NONE.

System location:

DIVISION OF COMMUNITY ASSISTANCE
NATIONAL INSTITUTE ON DRUG ABUSE
ROOM 9-12, PARKLAWN BLDG.
5600 FISHERS LANE
ROCKVILLE, MD. 20857

Categories of individuals covered by the system: CIVILLY COMMITTED NARCOTIC ADDICTS, 1967-1979.

Categories of records in the system: ADMINISTRATIVE RECORDS OF REHABILITATION STATUS, COURT ORDERS AND PETITIONS TO THE COURT.

Authority for maintenance of the system: NARCOTIC ADDICT REHABILITATION ACT, TITLES I AND III (28 U.S.C. 290 ET SEQ. AND 42 U.S.C. 3411 ET SEQ.).

Purpose(s):

TO ENABLE THE FEDERAL GOVERNMENT TO MONITOR PATIENT PROGRESS FROM TIME OF ENTRANCE INTO TREATMENT PROGRAM UNTIL DISCHARGE BY COURT.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.
2. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: RECORDS STORED IN FILE FOLDERS WITHIN OPEN SHELVES.

Retrievability: FILED ALPHABETICALLY BY PATIENT NAME.

Safeguards: ONLY AUTHORIZED FEDERAL STAFF HAVE ACCESS TO THESE FILES. FILE ROOM IS LOCKED AFTER BUSINESS HOURS. THE SAFEGUARDS DESCRIBED ARE IN ACCORDANCE WITH THE HHS GENERAL ADMINISTRATION MANUAL CHAPTERS 45-13 AND PHS.HF: 45-13.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

MEDICAL RECORDS ADMINISTRATOR
DIVISION OF COMMUNITY ASSISTANCE
NATIONAL INSTITUTE ON DRUG ABUSE
ROOM 9-12, PARKLAWN BLDG.
5600 FISHERS LANE
ROCKVILLE, MD. 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF OR HERSELF UPON

WRITTEN REQUEST WITH NOTARIZED SIGNATURE. THE REQUEST SHOULD INCLUDE, IF KNOWN: PATIENT RECORD NUMBER, PATIENT'S ADDRESS DURING TREATMENT, BIRTH DATE, AND APPROXIMATE DATES IN TREATMENT.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE, AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: PATIENTS; PATIENTS' DRUG TREATMENT PROGRAM COUNSELORS; COURT RECORDS.

Systems exempted from certain provisions of the act: NONE.

09-30-0021

System name: PATIENT MEDICAL RECORDS ON PHS BENEFICIARIES 1935-1974 AND CIVILLY COMMITTED NARCOTIC ADDICTS 1967-1974 TREATED AT PHS HOSPITALS. HHS/ADAMHA/NIDA.

Security classification: NONE.

System location:

DIVISION OF COMMUNITY ASSISTANCE, NIDA
ROOM 9-12, PARKLAWN BLDG.
5600 FISHERS LANE
ROCKVILLE, MD. 20857

DIVISION OF MENTAL HEALTH SERVICES
NATIONAL INSTITUTE OF MENTAL HEALTH
ROOM 11-105, PARKLAWN BLDG.
5600 FISHERS LANE
ROCKVILLE, MD. 20857

Categories of individuals covered by the system: PHS BENEFICIARIES TREATED 1935-1974 AND CIVILLY COMMITTED NARCOTIC ADDICTS TREATED 1967-1974 AT THE PHS HOSPITALS AT LEXINGTON, KENTUCKY AND FORT WORTH, TEXAS.

Categories of records in the system: MEDICAL RECORDS.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTIONS 321-326, 341(A)AND(C), (42 U.S.C. 248-253,257(A)AND(C)); NARCOTIC ADDICT REHABILITATION ACT, TITLES I AND II, (28 U.S.C. 2901 ET SEQ. AND 42 U.S.C. 3411 ET SEQ.).

Purpose(s):

TO PROVIDE INFORMATION TO HEALTH CARE PROVIDERS OF THE PUBLIC HEALTH SERVICE, IN ORDER FOR THEM TO MONITOR PATIENT PROGRESS AND ENSURE CONTINUITY OF CARE.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.
2. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: HARD COPY--FILE FOLDERS WITHIN FILE BOXES; MICROFILM--WITHIN ENCLOSED FILE CABINET.

Retrievability: FILED BY PATIENT HOSPITAL NUMBER.

Safeguards: ONLY AUTHORIZED FEDERAL STAFF TRAINED IN RECORD RETRIEVAL ARE ALLOWED ACCESS TO THESE FILES. FILE ROOM IS LOCKED AFTER BUSINESS HOURS. THE SAFEGUARDS DESCRIBED ARE IN ACCORDANCE WITH HHS GENERAL ADMINISTRATION MANUAL CHAPTERS 45-13 AND PHS.HF: 45-13.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

NATIONAL INSTITUTE ON DRUG ABUSE
ROOM 9-12, PARKLAWN BLDG.
5600 FISHERS LANE
ROCKVILLE, MD. 20857

CHIEF, MENTAL HEALTH CARE & SERVICES
FINANCING BRANCH
NATIONAL INSTITUTE OF MENTAL HEALTH
ROOM 11-105, PARKLAWN BLDG.
5600FISHERS LANE
ROCKVILLE, MD. 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. PROVIDE A NOTARIZED SIGNATURE AS PROOF OF IDENTITY. THE REQUEST SHOULD INCLUDE, IF KNOWN: PATIENT RECORD NUMBER, ANY ALIAS USED, HOSPITAL NAME AND/OR LOCATION, AND APPROXIMATE DATES WHEN IN THE HOSPITAL.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT. AN INDIVIDUAL WHO REQUESTS NOTIFICATION OF A MEDICAL RECORD SHALL, AT THE TIME THE REQUEST IS MADE, DESIGNATE IN WRITING A RESPONSIBLE REPRESENTATIVE WHO WILL BE WILLING TO REVIEW THE RECORD AND INFORM THE SUBJECT INDIVIDUAL OF ITS CONTENTS AT THE REPRESENTATIVE'S DISCRETION.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: PATIENTS, HOSPITAL STAFF, DRUG TREATMENT PROGRAM COUNSELORS, AND COURT RECORDS.

Systems exempted from certain provisions of the act: NONE.

09-30-0022

System name: NATIONAL INSTITUTE ON DRUG ABUSE ADDICTION RESEARCH CENTER FEDERAL PRISONER AND NON-PRISONER PATIENT FILES. HHS/ADAMHA/NIDA.

Security classification: NONE.

System location:

NIDA ADDICTION RESEARCH CENTER
4940 EASTERN AVENUE
BALTIMORE, MD 21224

Categories of individuals covered by the system: FEDERAL PRISONERS (INVOLVED IN RESEARCH PROJECTS FROM 1968-1976) AND NON-PRISONER VOLUNTEERS (INVOLVED IN RESEARCH PROJECTS FROM 1980 - PRESENT) IN INTRAMURAL DRUG ADDICTION RESEARCH PROGRAM.

Categories of records in the system: THE CATEGORIES OF RECORDS INVOLVED ARE ADMINISTRATIVE AND MENTAL/DENTAL RECORDS.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT, SECTIONS 301 AND 341(A)(42 U.S.C. 241(A) AND 257(A)); DRUG ABUSE OFFICE AND TREATMENT ACT SECTION 501(21 U.S.C. 1191).

Purpose(s):

TO ENABLE FEDERAL DRUG ABUSE RESEARCHERS TO EVALUATE AND MONITOR SUBJECT'S HEALTH DURING SUBJECT'S PARTICIPATION IN A RESEARCH PROJECT.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

2. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED. RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FILE FOLDERS WITHIN LOCKED FILE CABINETS.

Retrievability: FILED ALPHABETICALLY BY SUBJECT NAME.

Safeguards: ONLY AUTHORIZED FEDERAL STAFF ARE ALLOWED ACCESS TO THESE FILES. FILES AND FILE ROOM ARE LOCKED AFTER BUSINESS HOURS. THE SAFEGUARDS DESCRIBED ARE IN ACCORDANCE WITH HHS GENERAL ADMINISTRATIVE MANUAL CHAPTERS 45-13 AND PHS.HF: 45-13.

BECAUSE MUCH OF THE DATA COLLECTED IN THESE RESEARCH PROJECTS ARE SENSITIVE AND CONFIDENTIAL, SPECIAL SAFEGUARDS HAVE BEEN ESTABLISHED. CERTIFICATES OF CONFIDENTIALITY HAVE BEEN ISSUED UNDER 42 CFR PART 2A TO THOSE FROJECTS INITIATED SINCE FEBRUARY 1980. THIS AUTHORIZATION ENABLES PERSONS ENGAGED IN RESEARCH ON MENTAL HEALTH, INCLUDING RESEARCH ON THE USE AND EFFECT OF PSYCHOACTIVE DRUGS, TO PROTECT THE PRIVACY OF RESEARCH SUBJECTS BY WITHHOLDING THEIR NAMES OR OTHER IDENTIFYING CHARACTERISTICS FROM ALL PERSONS NOT CONNECTED WITH THE CONDUCT OF THE RESEARCH. PERSONS SO AUTHORIZED MAY NOT BE COMPELLED IN ANY FEDERAL, STATE, OR LOCAL CIVIL CRIMINAL, ADMINISTRATIVE, LEGISLATIVE, OR OTHER PROCEEDNG TO IDENTIFY SUCH INDIVIDUALS. IN ADDITION, THESE RECORDS ARE SUBJECT TO 42 CFR PART 2, THE CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS REGULATIONS (42 CFR 2.56), WHICH STATE:

> WHERE THE CONTENT OF PATIENT RECORDS HAS BEEN DISCLOSED PURSUANT TO THESE REGULATIONS FOR THE PURPOSE OF CONDUCTING SCIENTIFIC RESEARCH...INFORMATION CONTAINED THEREIN WHICH WOULD DIRECTLY OR INDIRECTLY IDENTIFY ANY PATIENT MAY NOT BE DISCLOSED BY THE RECIPIENT THEREOF EITHER VOLUNTARILY OR IN RESPONSE TO ANY LEGAL PROCESS WHETHER FEDERAL OR STATE.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

SCIENTIFIC DIRECTOR
NIDA ADDICTION RESEARCH CENTER
4940 EASTERN AVENUE
IN CARE OF BALTIMORE CITY HOSPITALS
BALTIMORE, MD 21224

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF OR HERSELF UPON WRITTEN REQUEST WITH NOTARIZED SIGNATURE. THE REQUEST SHOULD INCLUDE, IF KNOWN: NAME, YEAR OF RESEARCH PROJECT, BUREAU OF PRISONS OR ADDICTION RESEARCH CENTER IDENTIFICATION NUMBER, BALTIMORE CITY HOSPITALS MEDICAL PATIENT RECORD NUMBER, AND DATE OF BIRTH.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT. AN INDIVIDUAL WHO REQUESTS NOTIFICATION OF A MEDICAL/DENTAL RECORD SHALL, AT THE TIME THE REQUEST IS MADE, DESIGNATE IN WRITING A RESPONSIBLE REPRESENTATIVE WHO WILL BE WILLING TO REVIEW THE RECORD AND INFORM THE SUBJECT INDIVIDUAL OF ITS CONTENTS AT THE REPRESENTATIVE'S DISCRETION.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: SUBJECTS; BUREAU OF PRISONS RECORDS (WHICH INCLUDE CASE WORKER REPORTS); AND MEDICAL REFERRAL SOURCES SUCH AS PRIVATE PHYSICIANS, DRUG ABUSE TREATMENT PROGRAMS, AND HOSPITALS. MANY OF THESE RECORDS ARE CONFIDENTIAL AND PRIVILEGED COMMUNICATIONS AS GUARANTEED UNDER SECTION 344(D) OF THE PHS ACT.

Systems exempted from certain provisions of the act: NONE.

09-30-0023

System name: RECORDS OF CONTRACTS AWARDED TO INDIVIDUALS. HHS/ADAMHA/OA.

Security classification: NONE.

System location:

NATIONAL INSTITUTE ON DRUG ABUSE
CONTRACTS MANAGEMENT BRANCH
ROOM 10-49, PARKLAWN BLDG.
5600 FISHERS LANE
ROCKVILLE, MD 20857

NATIONAL INSTITUTE ON ALCOHOL ABUSE AND ALCOHOLISM
CONTRACTS MANAGEMENT BRANCH
ROOM 14-C-08, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD 20857

NATIONAL INSTITUTE OF MENTAL HEALTH
CONTRACTS MANAGEMENT BRANCH, OPS
ROOM 11-A-10, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD 20857

Categories of individuals covered by the system: CONTRACTORS AND CONTRACTORS' PERSONNEL INCLUDING CONTRACTOR'S CONSULTANTS.

Categories of records in the system: CURRICULUM VITAE, SALARY INFORMATION, EVALUATIONS OF PROPOSALS BY CONTRACT REVIEW COMMITTEES.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTION 301 (42 U.S.C. 241 AND 41 U.S.C. 252(C)). NIDA: DRUG ABUSE OFFICE AND TREATMENT ACT SECTIONS 410 AND 501 (21 U.S.C. 1177 AND 1191). NIAAA: COMMUNITY MENTAL HEALTH CENTERS ACT, COMPREHENSIVE ALCOHOL ABUSE AND ALCOHOLISM PREVENTION, TREATMENT AND REHABILITATION ACT OF 1970 SECTIONS 101, 311 (42 U.S.C. 4551, 4577). NIMH: PUBLIC HEALTH SERVICE ACT SECTION 455.

Purpose(s):

TO DOCUMENT THE HISTORY OF EACH INDIVIDUAL PROCUREMENT ACTION AND AWARD MADE WITHIN ADAMHA. THE RECORD SYSTEM IS ALSO USED BY CONTRACT REVIEW COMMITTEE MEMBERS IN EVALUATING A PROPOSAL.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

2. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: DOCUMENTS FILED IN FOLDERS IN ENCLOSED AND/OR LOCKED FILE CABINETS.

Retrievability: BY CONTRACT NUMBER AND CROSS-INDEXED BY CONTRACTOR ORGANIZATION'S NAME.

Safeguards: RELEASED ONLY TO AUTHORIZED FEDERAL PERSONNEL. OTHER SAFEGUARDS ARE IN ACCORDANCE WITH THE HHS GENERAL ADMINISTRATION MANUAL, CHAPTERS 45-13 AND PHS.HF: 45-13.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

NATIONAL INSTITUTE ON DRUG ABUSE
CHIEF, CONTRACTS MANAGEMENT BRANCH, OPS
ROOM 10-49, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD. 20857

NATIONAL INSTITUTE ON ALCOHOL ABUSE AND ALCOHOLISM
CHIEF, CONTRACTS MANAGEMENT BRANCH
ROOM 14-C-04, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD. 20857

NATIONAL INSTITUTE OF MENTAL HEALTH
CHIEF, CONTRACTS MANAGEMENT BRANCH
ROOM 11-A-10, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD. 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF UPON WRITTEN REQUEST WITH NOTARIZED SIGNATURE. THE REQUEST SHOULD INCLUDE, IF KNOWN, NAME OF CONTRACTOR FIRM, CONTRACT NUMBER, AND APPROXIMATE DATE CONTRACT WAS AWARDED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: CONTRACT PROPOSALS AND SUPPORTING CONTRACT DOCUMENTS, CONTRACT REVIEW COMMITTEES, SITE VISITORS.

Systems exempted from certain provisions of the act: NONE.

09-30-0024

System name: SAINT ELIZABETHS HOSPITAL GENERAL ADMINISTRATIVE RECORD SYSTEMS. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

OFFICE OF THE SUPERINTENDENT
SAINT ELIZABETHS HOSPITAL
2700 MARTIN LUTHER KING, JR. AVE. S.E.
AND
FEDERAL RECORDS CENTER
SUITLAND, MARYLAND

Categories of individuals covered by the system: FORMER, CURRENT, AND POTENTIAL PATIENTS AND EMPLOYEES.

Categories of records in the system: (1) DATA HAVING POTENTIAL LEGAL CONSEQUENCES INCLUDED IN INVESTIGATION REPORTS; (2) LETTERS; (3) MEMOS; (4) MINUTES OF MEETINGS AND CONFERENCES; (5) ORGANIZATIONAL CHARTS AND ASSIGNMENTS; (6) COPIES OF DISCLOSURES OF MEDICAL, BIOGRAPHICAL, EMPLOYMENT, AND EDUCATIONAL INFORMATION MADE FROM SAID INVESTIGATION REPORTS, LETTERS, ETC.

Authority for maintenance of the system: 24 USC 161, 21 DC CODE 1501, 21 DC CODE 562, 5 USC 7902, EXECUTIVE ORDER 11807, 9/28/74 AND PRESIDENTIAL SAFETY POLICY 10/24/1969.

Purpose(s):

TO FACILITATE THE MANAGEMENT OF THE DAILY ADMINISTRATIVE FUNCTIONS WITHIN THE HOSPITAL. THESE FUNCTIONS INCLUDE THE MANAGEMENT OF THE SAFETY PROGRAM, THE FIRE DEPARTMENT, THE HOUSE-KEEPING SECTION, THE PUBLIC INFORMATION OFFICE, THE CLINICAL PROGRAM; ADMINISTRATION OF MEDICAL, LEGAL AND CRIMINAL INVESTIGATIONS, ACCIDENT REPORTS, CONSERVATOR FILES, COURT CALENDARS, EVALUATION AND PROGRAM ASSESSMENT OF THE ADEQUACY OF THE THERAPEUTIC ACTIVITY, EMPLOYEE PERFORMANCE, CONFERENCE PROCEDURES, ORGANIZATION CHARTS, PATIENT AND EMPLOYEE ASSIGNMENTS, AND SOURCE MATERIAL FOR CONGRESSIONAL AND OTHER REQUESTS APPROVED BY THE RECORD SYSTEM MANAGER.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE PURSUANT TO 24 USC 168A TO THE FOLLOWING FEDERAL AND LOCAL AGENCIES: THE DISTRICT OF COLUMBIA, THE UNITED STATES BUREAU OF PRISONS, THE VETERANS ADMINISTRATION, THE UNITED STATES SOLDIERS HOME, AND THE STATE DEPARTMENT TO REPORT TREATMENT PROVIDED TO SPECIFIC PATIENTS, OR TO REPORT EVALUATION OF POTENTIAL PATIENTS FOR ADMISSION.

2. IN THE EVENT THAT A SYSTEM OF RECORDS MAINTAINED BY THIS AGENCY TO CARRY OUT ITS FUNCTIONS INDICATES A VIOLATION OR POTENTIAL VIOLATION OF LAW, WHETHER CIVIL, CRIMINAL OR REGULATORY IN NATURE, OR BY REGULATION, RULE OR ORDER ISSUED PURSUANT THERETO, THE RELEVANT RECORDS IN THE SYSTEM OF RECORDS MAY BE REFERRED, AS A ROUTINE USE, TO THE APPROPRIATE AGENCY, WHETHER FEDERAL (E.G., DEPARTMENT OF JUSTICE), STATE OR LOCAL (E.G., STATE AND LOCAL LICENSING BOARDS), CHARGED WITH THE RESPONSIBILITY OF INVESTIGATING OR PROSECUTING SUCH VIOLATION OR CHARGED WITH ENFORCING OR IMPLEMENTING THE STATUTE, OR RULE, REGULATION OR ORDER ISSUED PURSUANT THERETO.

3. A RECORD FROM THIS SYSTEM OF RECORDS MAY BE DISCLOSED TO A FEDERAL AGENCY, IN RESPONSE TO ITS REQUEST, IN CONNECTION WITH THE HIRING OR RETENTION OF AN EMPLOYEE, THE ISSUANCE OF A SECURITY CLEARANCE, THE REPORTING OF AN INVESTIGATION OF AN EMPLOYEE, THE LETTING OF A CONTRACT, OR THE ISSUANCE OF A LICENSE, GRANT, OR OTHER BENEFIT BY THE REQUESTING AGENCY, TO THE EXTENT THAT THE RECORD IS RELEVANT AND NECESSARY TO THE REQUESTING AGENCY'S DECISION ON THE MATTER.

4. WHERE FEDERAL AGENCIES HAVING THE POWER TO SUBPOENA OTHER FEDERAL AGENCIES' RECORDS, SUCH AS THE INTERNAL REVENUE SERVICE OR THE CIVIL RIGHTS COMMISSION, ISSUE A SUBPOENA TO THE DEPARTMENT FOR RECORDS IN THIS SYSTEM OF RECORDS, THE DEPARTMENT WILL MAKE SUCH RECORDS AVAILABLE.

5. WHERE A CONTRACT BETWEEN A COMPONENT OF THE DEPARTMENT AND A LABOR ORGANIZATION RECOGNIZED UNDER E.O. 11491 PROVIDES THAT THE AGENCY WILL DISCLOSE PERSONAL RECORDS RELEVANT TO THE ORGANIZATION'S MISSION, RECORDS IN THIS SYSTEM OF RECORDS MAY BE DISCLOSED TO SUCH ORGANIZATION.

6. DISCLOSURE MAY BE MADE TO ORGANIZATIONS DEEMED QUALIFIED BY THE SECRETARY TO CARRY OUT QUALITY ASSESSMENT, MEDICAL AUDITS OR UTILIZATION REVIEW.

7. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DICIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES INVOLVED IN THE PROCEEDINGS SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.

8. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

9. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, H THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FILE FOLDERS, INDEX CARDS, SUBJECT RECORD BOOK, PUNCH CARDS, MAGNETIC TAPES, CHARTS.

Retrievability: INDEXED AND RETRIEVED BY NAME, HOSPITAL CASE NUMBER, CIVIL SERVICE GRADE, CRIMINAL CASE NUMBER. RECORDS ARE ALSO FILED CHRONOLOGICALLY.

Safeguards: RESTRICTED ACCESS, PERSONNEL SURVEILLANCE, LOCKED FILES. FOR COMPUTER MEDIA RECORDS, A PASSWORD CODE SYSTEM IS IN EFFECT.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

SUPERINTENDENT
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF/HERSELF UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, DIRECTED TO:

PRIVACY ACT COORDINATOR
OFFICE OF THE SUPERINTENDENT
SAINT ELIZABETH'S HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION: (A) FULL NAME; (B) DATES OF THE CONTACT WITH ELIZABETHS HOSPITAL; (C) THE BRANCH, DIVISION, OR OFFICE WITH WHICH THE REQUESTOR HAD CONTACT; (D) THE CAPACITY IN WHICH THE REQUESTOR HAD CONTACT WITH THE HOSPITAL, E.G., PATIENT, EMPLOYEE, VENDOR, REPRESENTATIVE OF PROFESSIONAL ORGANIZATION, ETC; (E) THE NATURE OF THE MATERIAL DESIRED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: PATIENT AND EMPLOYEE RECORDS, HHS, ADAMHA, NIMH, AND SEH FORMS, CORRESPONDENCE, PUBLIC MEDIA, STAFF CONSULTANTS, RELATIVES, AUDITORS REPORTS, CONSERVATORS, U.S. POSTAL SERVICE, U.S. AND D.C. COURTS, PUBLIC DEFENDERS SERVICE, D.C. MENTAL HEALTH COMMISSION, OTHER PERSONS OR OUTSIDE AGENCIES AND ORGANIZATIONS OFFERING INFORMATION OR INITIATING REQUESTS, VOLUNTEERS OFFERING SERVICES, INTERVIEWS, MINUTES OF CONFERENCES, SEMINARS AND MEETINGS.

Systems exempted from certain provisions of the act: NONE.

09-30-0025

System name: MARYLAND PSYCHIATRIC CASE REGISTER. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

DIVISION OF BIOMETRY AND EPIDEMIOLOGY
NIMH
AND
PARKLAWN COMPUTER CENTER
5600 FISHERS LANE
ROCKVILLE, MARYLAND 20857

Categories of individuals covered by the system: PERSONS WHO RECEIVED CARE IN PSYCHIATRIC FACILITIES IN MARYLAND, AND MARYLAND RESIDENTS WHO RECEIVED CARE IN PSYCHIATRIC FACILITIES IN THE DISTRICT OF COLUMBIA DURING THE PERIOD JULY 1, 1961 - JUNE 30, 1968.

Categories of records in the system: INFORMATION CONTAINED ON ADMISSION, TERMINATION, AND PATIENT MOVEMENT FORMS REPORTED TO MARYLAND DEPARTMENT OF MENTAL HYGIENE, INCLUDING DEMOGRAPHIC, SOCIAL, AND PSYCHIATRIC DATA PERTAINING TO DIAGNOSIS, NATURE OF PROBLEM AND TYPE OF TREATMENT. ALSO, DEATH DATA (E.G., CAUSE) FROM BALTIMORE AND STATE OF MARYLAND DEATH CERTIFICATE RECORDS. PERIOD COVERED: JULY 1, 1961 - JUNE 30, 1968.

Authority for maintenance of the system: PUBLIC HEALTH SERVICE ACT SECTIONS 301, 433(A), 455(42 U.S.C. 241, 289K, 289K-1).

Purpose(s):

TO CONDUCT METHODOLOGICAL AND RESEARCH STUDIES AND ANALYSIS OF DATA RELATED TO THE EPIDEMIOLOGY OF MENTAL DISORDERS AND DELIVERY OF MENTAL HEALTH SERVICES. SPECIFICALLY, THE RECORDS ARE BEING USED OR INTENDED FOR USE TO DEVELOP GROUPED STATISTICAL DATA RELATING TO: (1) SOCIAL SECURITY EARNINGS; (2) INFORMATION COLLECTED IN A SPECIAL 1963 POPULATION CENSUS OF THE RESIDENTS OF WASHINGTON COUNTY, MARYLAND; (3) USE OF SERVICES; (4) LIFE-TABLE ANALYSES.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DATA EXTRACTS WITHOUT IDENTIFIERS ARE MADE AVAILABLE, ON WRITTEN REQUEST, TO OTHER

UNITS OF THE PUBLIC HEALTH SERVICE AND TO UNIVERSITY SCIENTISTS FOR THE PURPOSES OF RESEARCH ON EPIDEMIOLOGY OR ON SERVICE UTILIZATION.

2. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: MAGNETIC TAPES, PUNCH CARDS, COMPUTER PRINTOUTS.

Retrievability: BY REGISTER IDENTIFICATION NUMBER, NAME.

Safeguards: ONLY AUTHORIZED RESEARCH AND COMPUTER STAFF HAVE ACCESS TO FILES. FOR COMPUTERIZED RECORDS, A PASSWORD SYSTEM IS EMPLOYED AND RISK ANALYSES ARE PERFORMED IN ACCORDANCE WITH PARKLAWN COMPUTER CENTER REQUIREMENTS.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

CHIEF, APPLIED BIOMETRICS RESEARCH BRANCH
DIVISION OF BIOMETRY AND EPIDEMIOLOGY
NATIONAL INSTITUTE OF MENTAL HEALTH
5600 FISHERS LANE
ROCKVILLE, MARYLAND 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT. ACCESS TO RECORD SYSTEMS WHICH HAVE BEEN GRANTED AN EXEMPTION FROM THE PRIVACY ACT ACCESS REQUIREMENT MAY BE MADE AT THE DISCRETION OF THE SYSTEM MANAGER. APPEAL OF ACCESS REFUSAL MAY BE MADE TO THE ADMINISTRATOR, ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION.

Contesting record procedures: IF ACCESS HAS BEEN GRANTED, WRITE TO THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: FORMS SUBMITTED BY PSYCHIATRIC FACILITIES TO MARYLAND DEPARTMENT OF MENTAL HYGIENE, AS WELL AS MARYLAND DEATH CERTIFICATE RECORDS.

Systems exempted from certain provisions of the act: AN EXEMPTION FROM NOTIFICATION ACCESS AND CONTEST AS A STATISTICAL RECORD SYSTEM UNDER SECTION 3 (F)(K)(4) OF THE PRIVACY ACT HAS BEEN GRANTED.

09-30-0026

System name: SAINT ELIZABETHS HOSPITAL RESEARCH PROJECT RECORD, HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

BEHAVIORAL STUDIES BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032
AND
FEDERAL RECORDS CENTER
SUITLAND, MARYLAND 20032

Categories of individuals covered by the system: PERSONS WHO SEEK APPROVAL OR WHO HAVE OBTAINED APPROVAL TO CONDUCT RESEARCH PROJECTS AT SAINT ELIZABETHS HOSPITAL.

Categories of records in the system: WRITTEN DOCUMENTS PERTAINING TO RESEARCH PROJECT PROPOSALS AND/OR RESULTS OBTAINED FROM APPROVED RESEARCH STUDIES, RESEARCH PROTOCOLS, AND CURRICULUM VITAE OF RESEARCH APPLICANTS.

Authority for maintenance of the system: 24 U.S.C. 161, PUBLIC HEALTH SERVICE ACT SECTION 301(42 U.S.C. 241).

Purpose(s):

TO: (1) EVALUATE RESEARCH PROPOSALS FOR OFFICIAL APPROVAL; (2) DISSEMINATE RESULTS OBTAINED FROM APPROVED RESEARCH STUDIES; (3) EVALUATE PROGRAM; AND (4) FACILITATE HISTORICAL RESEARCH.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:
   (A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED;
   (B) HAS DETERMINED THAT THE RESEARCH PURPOSE THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;
   (C) HAS REQUIRED THE RECIPIENT TO – (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT – (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW;
   (D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

2. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DICIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES INVOLVED IN THE PROCEEDINGS SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.

3. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

4. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT

OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: FILE FOLDERS AND FILING CABINETS.

Retrievability: SYSTEM IS FILED BY NAME OF PRIMARY INVESTIGATOR, AND DATE OF RESEARCH PROPOSAL SUBMISSION, TITLE OF RESEARCH PROJECT, AND DATE OF RESEARCH COMPLETION.

Safeguards: RECORDS ARE KEPT IN MONITORED OFFICES AND ARE ONLY AVAILABLE TO PERSONS AUTHORIZED TO USE RECORDS FOR THE PURPOSES FOR WHICH THEY WERE COLLECTED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR, HOFFMAN DIVISION OF RESEARCH
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: AN INDIVIDUAL MAY LEARN IF A RECORD ABOUT HIMSELF/HERSELF EXISTS UPON WRITTEN REQUEST WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE IDENTIFICATION IF REQUEST IS MADE IN PERSON, TO:

PRIVACY ACT COORDINATOR
OFFICE OF DIRECTOR
HOFFMAN DIVISION OF RESEARCH
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED: (A) FULL NAME; (B) DATES WHEN RESEARCH PROJECT WAS PROPOSED, APPROVED OR DISAPPROVED AND COMPLETED; (C) STAFF POSITION HELD IN TERMS OF STAFF, TRAINEES, OR OUTSIDE INVESTIGATOR; (D) TITLE OF RESEARCH PROJECT.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTION ACTION SOUGHT.

Record source categories: INFORMATION IS OBTAINED FROM THE PRIMARY RESEARCH INVESTIGATOR, AND SUPERVISORY AND ADMINISTRATIVE PERSONNEL.

Systems exempted from certain provisions of the act: NONE.

09-30-0027

System name: GRANTS: RESEARCH, RESEARCH TRAINING, RESEARCH SCIENTIST DEVELOPMENT, EDUCATION, DEMONSTRATION, FELLOWSHIPS, CLINICAL TRAINING, COMMUNITY SERVICES, COOPERATIVE AGREEMENTS. HHS/ADAMHA/OA.

Security classification: NONE.

System location:

NATIONAL INSTITUTE ON DRUG ABUSE
GRANTS MANAGEMENT BRANCH
ROOM 9A-19, PARKLAWN BLDG.
5600 FISHERS LANE
ROCKVILLE, MARYLAND 20857

NATIONAL INSTITUTE ON ALCOHOL ABUSE AND ALCOHOLISM
GRANTS MANAGEMENT BRANCH
ROOM 16-86, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MARYLAND 20857

NATIONAL INSTITUTE OF MENTAL HEALTH
GRANTS MANAGEMENT BRANCH, OPS
ROOM 7C-02, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MARYLAND 20857

Categories of individuals covered by the system: PRINCIPAL INVESTIGATORS, PROGRAM DIRECTORS, TRAINEES, FELLOWS, RESEARCH SCIENTIST DEVELOPMENT AWARDEES, AND OTHER EMPLOYEES OF APPLICANT OR GRANTEE INSTITUTIONS.

Categories of records in the system: GRANT AND COOPERATIVE AGREEMENT APPLICATIONS AND REVIEW HISTORY, INCLUDING CURRICULUM VITAE, SALARY INFORMATION, SUMMARY OF REVIEW COMMITTEE DELIBERATIONS AND SUPPORTING DOCUMENTS, PROGRESS REPORTS, FINANCIAL RECORDS, NATIONAL RESEARCH SERVICES ACT AWARDEE PAYBACK RECORDS.

Authority for maintenance of the system: NIDA: PUBLIC HEALTH SERVICE ACT SECTION 301(42 U.S.C. 241); SECTION 251 (42 U.S.C. 2688K) COMMUNITY MENTAL HEALTH CENTERS ACT SECTION 410 NIAAA: PUBLIC HEALTH SERVICE ACT SECTION 301 (42 U.S.C. 241); COMPREHENSIVE ALCOHOL ABUSE AND ALCOHOLISM TREATMENT AND REHABILITATION ACT OF 1970 SECTIONS 101, 311 (42 U.S.C. 4551, 4577). NIMH: PUBLIC HEALTH SERVICE ACT SECTION 301, 303(A), 433(A), 455, AND 472(A)(1)(A) (42 U.S.C. 241, 242A 289C, 289K-1, AND 289L-1), AND FEDERAL GRANT AND COOPERATIVE AGREEMENT ACT OF 1977 (41 U.S.C. 501 ET SEQ.).

Purpose(s):

RECORDS ARE MAINTAINED AS OFFICIAL DOCUMENTATION RELEVANT TO THE REVIEW, AWARD, AND ADMINISTRATION OF GRANT PROGRAMS. SPECIFICALLY, RECORDS ARE: 1. USED BY STAFF PROGRAM AND MANAGEMENT SPECIALISTS FOR PURPOSE OF AWARDING AND MONITORING GRANT FUNDS; 2. USED TO MAINTAIN COMMUNICATION WITH FORMER TRAINEES/FELLOWS WHO HAVE INCURRED AN OBLIGATION THROUGH THE NATIONAL RESEARCH SERVICES ACT.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. REFERRALS MAY BE MADE OF ASSIGNMENTS OF RESEARCH INVESTIGATORS AND PROJECT MONITORS TO SPECIFIC RESEARCH PROJECTS TO THE SMITHSONIAN INSTITUTION TO CONTRIBUTE TO THE SMITHSONIAN SCIENCE INFORMATION EXCHANGE, INC.

2. DISCLOSURE MAY BE MADE TO QUALIFIED EXPERTS NOT WITHIN THE DEFINITION OF DEPARTMENT EMPLOYEES FOR OPINION DURING THE APPLICATION REVIEW PROCESS.

3. A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:

(A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED; (B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;

(C) HAS REQUIRED THE RECIPIENT TO -- (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT -- (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW;

(D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

4. DISCLOSURE MAY BE MADE TO ORGANIZATIONS DEEMED QUALIFIED BY THE SECRETARY TO CARRY OUT QUALITY ASSESSMENT, MEDICAL AUDITS, OR UTILIZATION REVIEW.

5. DISCLOSURE MAY BE MADE TO THE COGNIZANT AUDIT AGENCY AND THE GENERAL ACCOUNTING OFFICE FOR AUDITING.

6. IN THE EVENT THAT A SYSTEM OF RECORDS MAINTAINED BY THIS AGENCY TO CARRY OUT ITS FUNCTIONS INDICATES A VIOLATION OR POTENTIAL VIOLATION OF LAW, WHETHER CIVIL, CRIMINAL OR REGULATORY IN NATURE, AND WHETHER ARISING BY STATUTE, OR BY REGULATION, RULE OR ORDER ISSUED PURSUANT THERETO, THE RELEVANT RECORDS IN THE SYSTEM OF RECORDS MAY BE REFERRED, AS A ROUTINE USE, TO THE APPROPRIATE AGENCY, WHETHER FEDERAL (E.G., THE DEPARTMENT OF JUSTICE AND THE OFFICE OF GENERAL COUNSEL) OR STATE (E.G., THE STATE'S ATTORNEY'S OFFICE), CHARGED WITH THE RESPONSIBILITY OF INVESTIGATING OR PROSECUTING SUCH VIOLATION OR CHARGE WITH ENFORCING OR IMPLEMENTING THE STATUTE, OR RULE, REGULATION OR ORDER ISSUED PURSUANT THERETO. FOR LITIGATION.

7. DISCLOSURE MAY BE MADE TO A FEDERAL AGENCY, IN RESPONSE TO ITS REQUEST, IN CONNECTION WITH THE HIRING OR RETENTION OF AN EMPLOYEE, THE ISSUANCE OF A SECURITY CLEARANCE, THE REPORTING OF AN INVESTIGATION OF AN EMPLOYEE, THE LETTING OF A CONTRACT, OR THE ISSUANCE OF A LICENSE, GRANT, OR OTHER BENEFIT BY THE REQUESTING AGENCY, TO THE EXTENT THAT THE RECORD IS RELEVANT AND NECESSARY TO THE REQUESTING AGENCY'S DECISION ON THE MATTER.

8. WHERE FEDERAL AGENCIES HAVING THE POWER TO SUBPOENA OTHER FEDERAL AGENCIES' RECORDS, SUCH AS THE INTERNAL REVENUE SERVICE OR THE CIVIL GHTS COMMISSION, ISSUE A SUBPOENA TO THE DEPARTMENT FOR RECORDS IN THIS SYSTEM OF RECORDS, THE DEPARTMENT WILL MAKE SUCH RECORDS AVAILABLE.

9. WHERE THE APPROPRIATE OFFICIAL OF THE DEPARTMENT, PURSUANT TO THE DEPARTMENT'S FREEDOM OF INFORMATION REGULATION DETERMINES THAT IT IS IN THE PUBLIC INTEREST TO DISCLOSE A RECORD WHICH IS OTHERWISE EXEMPT FROM MANDATORY DISCLOSURE, DISCLOSURE MAY BE MADE FROM THIS SYSTEM OF RECORDS.

10. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

11. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: DOCUMENTS FILED IN FOLDERS IN ENCLOSED FILE CABINETS AND OPEN SHELVES. INFORMATION ON 3 X 5 CARDS IN FILE CABINETS. COMPUTERIZED RECORDS EXIST IN TAPE AND DISC FORM.

Retrievability: BY GRANT NUMBERS AND CROSS-INDEXED BY NAME.

Safeguards: ONLY AUTHORIZED PERSONNEL HAVE ACCESS TO THE FILES. COMPUTERIZED RECORDS ARE PASSWORD PROTECTED; PASSWORDS ARE CHANGED FROM TIME TO TIME. COMPUTERIZED RECORDS ARE MAINTAINED IN A SECURED AREA. DURING NORMAL WORK HOURS, THE AREA IS STAFFED BY AUTHORIZED PERSONNEL WHO MUST SHOW IDENTIFICATION FOR ENTRY. AT OTHER TIMES, THE AREA IS LOCKED. THERE IS 24-HOUR GUARD PATROL.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

NATIONAL INSTITUTE ON DRUG ABUSE
CHIEF, GRANTS MANAGEMENT BRANCH, OPS
ROOM 9A-19, PARKLAWN BUILDING
5600 FISHER'S LANE
ROCKVILLE, MD. 20857

NATIONAL INSTITUTE ON ALCOHOL ABUSE AND ALCOHOLISM
CHIEF, GRANTS MANAGEMENT BRANCH
ROOM 16-86, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD. 20857

NATIONAL INSTITUTE OF MENTAL HEALTH
CHIEF, GRANTS MANAGEMENT BRANCH
ROOM 7C-02, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD. 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ABOVE ADDRESS. VERIFIABLE PROOF OF IDENTITY REQUIRED.

Record access procedures: SAME AS NOTIFICATION PROCEDURE. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT, AND SHOULD PROVIDE THE OFFICIAL GRANT NUMBER WHEN POSSIBLE.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: APPLICANTS, GRANTEES, FELLOWS, TRAINEES, PERSONNEL AT GRANTEE INSTITUTION ON WHOM THE RECORD IS MAINTAINED, FEDERAL ADVISORY COMMITTEES, SITE VISITORS, CONSULTANTS, REFERENCES.

Systems exempted from certain provisions of the act: NONE.

09-30-0028

System name: SAINT ELIZABETHS HOSPITAL GENERAL MEDICAL/CLINICAL RECORDS SYSTEM AND RELATED INDEXES. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location: THIS IS A WIDELY DECENTRALIZED SYSTEM OF RECORDS. INACTIVE PATIENT RECORDS ARE LOCATED IN THE BASEMENT OF THE DIX BUILDING. ACTIVE PATIENT RECORDS ARE LOCATED IN THE DIVISION WHERE THE PATIENT IS RESIDING, INCLUDING POSSIBLY CONTRACTOR LOCATIONS. A CURRENT LISTING OF CONTRACTOR SITES IS AVAILABLE FROM THE SYSTEM MANAGER. SEH CLINICAL DIVISIONS ARE LISTED BELOW UNDER SYSTEM MANAGER. RECORDS ARE STORED AT THE FEDERAL RECORDS CENTER, SUITLAND, MARYLAND.

Categories of individuals covered by the system: ALL PAST AND PRESENT PATIENTS OF SAINT ELIZABETHS HOSPITAL.

Categories of records in the system: INPATIENT AND OUTPATIENT PSYCHIATRIC MEDICAL/CLINICAL RECORDS. THE MEDICAL/CLINICAL RECORD CONTAINS IDENTIFYING DATA (NAME, DATE AND PLACE OF BIRTH, AGE, SEX, RACE, MARITAL STATUS, LEGAL CATEGORY, SOCIAL SECURITY NUMBER, LEAVE AND RESIDENTIAL STATUS, ADMISSION AND DISCHARGE DATES, IDENTIFICATION OF RELATIVES AND HOSPITAL IDENTIFICATION NUMBER) AND MEDICAL/CLINICAL INFORMATION (PHYSICIAN'S ADMISSION NOTE, RESULTS OF PHYSICAL EXAMINATIONS, DESCRIPTIONS OF PATIENT'S PRESENT AND PAST PHYSICAL AND MENTAL HEALTH, DIAGNOSIS, PROGNOSIS, CONSULTANT'S OPINIONS, SOCIAL HISTORY, TREATMENT PLAN, RESULTS OF DIAGNOSTIC TESTS AND PROCEDURES, NOTES OF PATIENT'S RESPONSE TO TREATMENT, PROGRESS NOTES, NURSES NOTES, INCIDENT REPORTS, AND REPORTS OR NOTES OF OTHERS WHO CONTRIBUTED TO A PATIENT'S TREATMENT AND/OR SOCIAL WORK EFFORTS, AND CORRESPONDENCE WITH SAINT ELIZABETHS HOSPITAL CONCERNING SUCH A PATIENT.

Authority for maintenance of the system: 24 USC 161, ET SEQ.; 21 DC CODE 562.

Purpose(s):

1. TO DOCUMENT A PATIENT'S ILLNESS, CHIEF COMPLAINT, HISTORY, PHYSICAL EXAMINATION, DIAGNOSTIC TEST AND PROCEDURE REPORTS, TO PLAN TREATMENT WHETHER AS AN INPATIENT OR AN OUTPATIENT.

2. TO PROMOTE CONTINUITY OF CARE FOR FOLLOW-UP OF TREATMENT, FOR REFERENCE UPON FUTURE TREATMENT AND CARE.

3. TO PROVIDE BASIS FOR REPORTS MANDATORY UNDER FEDERAL AND LOCAL LAWS.

4. IN SOME INSTANCES, TO PROVIDE AS A BASIS FOR ACTION IN THE COURSE OF EMPLOYEE DISCIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS.

5. TO TRANSACT HOSPITAL BUSINESS IN FILING INSURANCE CLAIMS, VERIFICATION OF PATIENT'S COMPETENCY, DISABILITY, OR RETIREMENT BENEFITS, VERIFICATION OF LEAVE STATUS AND RESIDENCE.

6. TO SERVE AS A BASIS FOR HOSPITAL ADMINISTRATIVE PLANNING AND EVALUATION OF ITS PROGRAMS.

7. TO SERVE AS IMPERSONAL DOCUMENTS FOR THE HOSPITAL STAFF CONTINUING EDUCATION AND STUDIES.

8. TO BE USED BY HOSPITAL STAFF FOR ASSESSMENT OF THE QUALITY OF TREATMENT, FOR MEDICAL AUDIT AND UTILIZATION REVIEW.

9. TO BE USED FOR THE LEGAL DEFENSE OF THE HOSPITAL AND ITS STAFF IN CASES WHERE A CLAIM IS BASED ON PATIENT'S MENTAL OR PHYSICAL CONDITIONS AND ARISING FROM THE PATIENT'S TREATMENT AT SAINT ELIZABETHS HOSPITAL.

10. TO BE USED FOR STATISTICAL REPORTS, MONTHLY ANALYSIS OF CLINICAL DIVISION SERVICES, MONTHLY, QUARTERLY, ANNUAL REPORTS.

11. TO SERVE AS A BASIS FOR REPORTS TO ACCREDITING AGENCIES, JOINT COMMISSION ON ACCREDITATION OF HOSPITALS, AMERICAN HOSPITAL ASSOCIATION, AMERICAN PSYCHIATRIC ASSOCIATION, MEDICARE LICENSURE, ETC.

12. TO PREPARE INDEXES BASED ON MEDICAL/CLINICAL RECORDS THAT ARE ROUTINELY USED FOR: (A) SPEEDY IDENTIFICATION AND LOCATION OF SPECIFIC PATIENTS; (B) MONITORING THE COMPLETENESS OF PATIENT RECORDS, PARTICULARLY RECORDS OF PATIENTS DISCHARGED OR DECEASED; (C) MONITORING THE CHANGING STATUS OF PATIENTS IN TERMS OF EITHER TRANSFERS WITHIN THE HOSPITAL OR OUTSIDE THE HOSPITAL; (D) EASY IDENTIFICATION OF BASIC DEMOGRAPHIC DATA USED FOR STATISTICAL AND/OR RESEARCH PURPOSES; AND, (E) QUICK REVIEW OF CURRENT TREATMENT REGIMEN IN SOME CASES.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: DISCLOSURE MAY BE MADE:

1. TO FACILITATE TREATMENT OF PATIENT WHEN ADMITTED TO OTHER FACILITIES; TO SEND RECORDS TO NEW PHYSICIANS.

2. TO PERSONNEL WHO ARE NOT EMPLOYEES OF THE HOSPITAL FOR ACCREDITATION OR LICENSURE OF THE HOSPITAL.

3. OF REPORTS TO A REFERRING SOURCE SUCH AS A PHYSICIAN OR A COURT; AND TO AUTHORIZED PARTIES, WHO HAVE LEGITIMATE INTERESTS IN THE PATIENT, WHO ARE NOT AN EMPLOYEED BY OR CONNECTED WITH SAINT ELIZABETHS HOSPITAL, SUCH AS THE INTERSTATE SERVICES SECTION OF THE DISTRICT OF COLUMBIA GOVERNMENT.

4. TO ASSISTANT UNITED STATES ATTORNEYS, ASSISTANT CORPORATION COUNSEL, DEFENSE ATTORNEYS, AND THE MENTAL HEALTH COMMISSION, WHO REQUEST A PATIENT'S MEDICAL RECORDS IN CASES WHERE A PHYSICIAN- PATIENT PRIVILEGE IS WAIVED BY STATUTE, IN ORDER THAT INFORMATION NECESSARY TO PERFORM STATUTORY GOVERNMENTAL FUNCTIONS IN CIVIL COMMITMENT, ADULT CRIMINAL, AND JUVENILE PROCEEDINGS, WILL BE AVAILABLE TO THE PARTIES AND THE FACT-FINDERS.

5. IN THE CASE OF A PATIENT WHO LACKS THE CAPACITY TO GIVE INFORMED CONSENT TO THE RELEASE OF HIS OR HER MEDICAL RECORDS, AND WHO HAS NO LEGAL GUARDIAN TO ACT ON HIS OR HER BEHALF, DISCLOSURE MAY BE MADE TO APPROPRIATE INDIVIDUALS OR ORGANIZATIONS SO THAT SUCH INDIVIDUALS OR ORGANIZATIONS MAY PROVIDE A BENEFIT OR SERVICE TO THE PATIENT, SUCH AS (BUT NOT LIMITED TO) WELFARE BENEFITS OR OCCUPATIONAL SERVICES.

6.

FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT: (A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED; (B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING; (C) HAS REQUIRED THE RECIPIENT TO -- (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT -- (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED LAW; HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

7. TO ORGANIZATIONS DEEMED QUALIFIED BY THE SECRETARY TO CARRY OUT QUALITY ASSESSMENT, MEDICAL AUDITS OR UTILIZATION REVIEW, INCLUDING PROFESSIONAL STANDARDS REVIEW ORGANIZATIONS.

8. DISCLOSURES MAY BE MADE IN THE COURSE OF EMPLOYEE DICIPLINE OR COMPETENCE DETERMINATION PROCEEDINGS TO PARTIES INVOLVED IN THE PROCEEDINGS SUCH AS POLICE, ATTORNEYS, AND OFFICE OF PERSONNEL MANAGEMENT EMPLOYEES.

9. TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

10. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL.)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

1. ACTIVE PATIENTS - FILE FOLDERS WITH GENERAL MEDICAL RECORD AND CORRESPONDENCE FILE ARE KEPT IN METAL FILE CABINETS. INDEX CARDS, MONITORING CARDS, KARDEX AND ADDRESSOGRAPH PLATES ARE KEPT IN THEIR APPROPRIATE CONTAINERS.

2. INACTIVE PATIENTS (DISCHARGED AND DECEASED PATIENTS) - CLINICAL AND CORRESPONDENCE RECORDS ARE FILED IN SEPARATE CODED FOLDERS WITH UNIT NUMBERING SYSTEM. PATIENTS INDEX - 3X5 CARD FILE OF ALL PATIENTS HOSPITALIZED OR TREATED AT SEH IN A KARDVEYER; DIAGNOSTIC INDEXES - A 5X7 SEPARATE INDEX CARD FILE STORED IN A VISU-TRIVER.

Retrievability:

DATA ARE RETRIEVED BY PATIENT'S NAME AND HOSPITAL NUMBER.

Safeguards:

1. AVAILABLE ONLY TO PROPERLY TRAINED AND SCREENED PERSONNEL.

2. ACCESS LIMITED TO AUTHORIZED INDIVIDUALS ONLY. ENFORCED BY SECURITY PERSONNEL. ROOM ARE LOCKED WHEN UNOCCUPIED.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

I. FOR RECORDS OF INACTIVE PATIENTS:

SUPERINTENDENT
ROOM 105, ADMINISTRATION BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

II. FOR RECORDS OF ACTIVE PATIENTS:

DIRECTOR
AREA D COMMUNITY MENTAL HEALTH CENTER
DIX BUILDING, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR
DIVISION OF CHILD AND ADOLESCENT SERVICES
DIX BUILDING, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR
NOYES DIVISION
NOYES 7, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR
FORENSIC DIVISION
JOHN HOWARD PAVILION, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR
GODDING DIVISION
GODDING 6, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR
MARR DIVISION
NICHOLS BUILDING, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR
MENTAL HEALTH PROGRAM FOR THE DEAF
L BUILDING, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR

MEDICINE BRANCH
W W ELDRIDGE BLDG., SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR
O'MALLEY DIVISION
Q BUILDING, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

DIRECTOR
RICHARDSON DIVISION
P BUILDING, SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

CLINICAL DIRECTOR
WILLIAM A. WHITE DIVISION
WILLIAM A. WHITE BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

Notification procedure: A PATIENT OR FORMER PATIENT MAY LEARN IF A RECORD EXISTS UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE IF REQUEST IS MADE BY MAIL, OR WITH SUITABLE PROOF OF IDENTITY IF REQUEST IS MADE IN PERSON, DIRECTED TO, AS APPROPRIATE:

ACTIVE PATIENTS:
PRIVACY ACT COORDINATOR
OFFICE OF THE DIRECTOR (DIVISION WHERE PERSON RECEIVES TREATMENT; SEE LIST UNDER 'SYSTEM MANAGER')
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

INACTIVE PATIENTS:
PRIVACY ACT COORDINATOR
OFFICE OF MEDICAL RECORDS BRANCH
A BUILDING
SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED WHEN REQUESTING NOTIFICATION: (A) FULL NAME; (B) FOR DISCHARGED PATIENTS, APPROXIMATE DATES ENROLLMENT AT SAINT ELIZABETHS HOSPITAL; (C) IF POSSIBLE, THE PATIENT'S HOSPITAL NUMBER; (D) THE NATURE OF THE MATERIAL DESIRED. A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF A CHILD'S/INCOMPETENT PERSON'S RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD/INCOMPETENT PERSON AS WELL AS HIS/HER OWN IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: MEDICAL RECORDS ARE A COMPILATION OF SOCIOLOGICAL, MEDICAL, CLINICAL AND HISTORICAL DATA OF A PATIENT. THEY ARE A COMPLETE REPORT OF AN ILLNESS RESULTING FROM AN ACCUMULATION OF A LARGE AMOUNT OF INFORMATION ABOUT A PATIENT. THE INFORMATION RECORDED WAS GIVEN BY THE PATIENT, HIS/HER RELATIVES, OR OTHER THIRD PERSONS INTERESTED IN THE PATIENT, FROM EXISTING RECORDS USED AS REFERENCE, FROM CLINICAL TESTS (DIFFERENT DEPARTMENTS SUCH AS LAB, X-RAY, EEG, ETC.), PHYSICIANS, PSYCHIATRISTS, NURSES, SOCIAL WORKERS, OTHER THERAPISTS WHO ENTERED THEIR OBSERVATIONS AND ASSESSMENTS BY MEANS OF PROGRESS NOTES, REPORTS, ETC.

Systems exempted from certain provisions of the act: NONE.

09-30-0029

System name: RECORD OF GUEST WORKERS. HHS/ADAMHA/OA.

Security classification: NONE.

System location:

ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION
5600 FISHERS LANE
ROCKVILLE, MD. 20857

Categories of individuals covered by the system: INDIVIDUALS USING ADAMHA FACILITIES WHO ARE NOT EMPLOYEES.

Categories of records in the system: PERSONAL INFORMATION INCLUDING NAME, ADDRESS, DATE AND PLACE OF BIRTH, EDUCATION, EMPLOYMENT, PURPOSE FOR WHICH ADAMHA FACILITIES ARE DESIRED, OUTSIDE SPONSOR AND ADAMHA SPONSOR.

Authority for maintenance of the system: 42 USC 241.

Purpose(s):

TO DOCUMENT INDIVIDUAL'S PRESENCE AT ADAMHA AND AS A RECORD THAT THE INDIVIDUAL IS NOT PERFORMING SERVICES FOR ADAMHA AND IS THEREFORE NOT AN EMPLOYEE.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO THE U.S. OFFICE OF PERSONNEL MANAGEMENT FOR PROGRAM EVALUATION PURPOSES.

2. DISCLOSURE MAY BE MADE TO INSTITUTIONS PROVIDING FINANCIAL SUPPORT FOR SUBJECT INDIVIDUAL.

3. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

4. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: STORED IN FILE FOLDERS.

Retrievability: RETRIEVED BY NAME.

Safeguards: LOCKED FILES ACCESSIBLE ONLY TO AUTHORIZED INDIVIDUALS, I.E., EMPLOYEES OF DIVISION OF PERSONNEL MANAGEMENT AND ADAMHA MANAGERS AND SUPERVISORS WITH LEGITIMATE INTEREST IN GUEST WORKER.

Retention and disposal: RETAINED FOR THREE YEARS AFTER COMPLETION OF SOJOURN, THEN DESTROYED.

System manager(s) and address:

DIRECTOR
DIVISION OF PERSONNEL MANAGEMENT, ADAMHA
5600 FISHERS LANE
ROCKVILLE, MD 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, CONTACT THE SYSTEM MANAGER AT THE ADDRESS ABOVE. INDIVIDUALS WHO REQUEST NOTIFICATION IN PERSON MUST SUPPLY ONE PROOF OF IDENTITY CONTAINING INDIVIDUAL'S COMPLETE NAME AND ONE OTHER IDENTIFIER WITH PICTURE (E.G., DRIVER'S LICENSE, BUILDING PASS). INDIVIDUALS WHO REQUEST NOTIFICATION BY MAIL MUST SUPPLY NOTARIZED SIGNATURE AS PROOF OF IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: SUBJECT INDIVIDUAL AND ADAMHA SPONSOR.

Systems exempted from certain provisions of the act: NONE.

09-30-0030

System name: RECORD OF VISITING FELLOWS. HHS/ADAMHA/OA.

Security classification: NONE.

System location:

ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION
DIVISION OF PERSONNEL MANAGEMENT
5600 FISHERS LANE, PARKLAWN BUILDING
ROCKVILLE, MD. 20857

Categories of individuals covered by the system: INDIVIDUALS UNDERGOING TRAINING WHO ARE NOT EMPLOYEES.

Categories of records in the system: PERSONAL INFORMATION INCLUDING NAME, ADDRESS, DATE AND PLACE OF BIRTH, EDUCATION, QUALIFICATIONS FOR TRAINING, STIPEND INFORMATION, VISA INFORMATION.

Authority for maintenance of the system: 42 USC 241 AND 42 U.S.C. 482L-1

Purpose(s):

TO REFER CANDIDATES TO SELECTING OFFICIALS FOR PLACEMENT AND TO MAINTAIN INFORMATION CONCERNING THEIR EMPLOYMENT WHILE AT ADAMHA.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO THE U.S. OFFICE OF PERSONNEL MANAGEMENT FOR PROGRAM EVALUATION PURPOSES.
2. DISCLOSURE MAY BE MADE TO THE GENERAL ACCOUNTING OFFICE FOR FUND DISBURSEMENT DETERMINATIONS.
3. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.
4. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: STORED IN FILE FOLDERS.

Retrievability: RETRIEVED BY NAME.

Safeguards: KEPT IN LOCKED FILE ACCESSIBLE ONLY TO AUTHORIZED INDIVIDUALS, I.E. EMPLOYEES OF DIVISION OF PERSONNEL MANAGEMENT AND ADAMHA MANAGERS AND SUPERVISORS WITH A LEGITIMATE INTEREST IN INDIVIDUAL AS AN EMPLOYEE.

Retention and disposal: RETAINED FOR THREE YEARS AFTER COMPLETION OF FELLOWSHIP, THEN DESTROYED.

System manager(s) and address:

DIRECTOR
DIVISION OF PERSONNEL MANAGEMENT, ADAMHA
5600 FISHERS LANE
ROCKVILLE, MD. 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, CONTACT THE SYSTEM MANAGER AT THE ADDRESS ABOVE. INDIVIDUALS WHO REQUEST NOTIFICATION IN PERSON MUST SUPPLY ONE PROOF OF IDENTITY CONTAINING INDIVIDUAL'S COMPLETE NAME AND ONE OTHER IDENTIFIER WITH PICTURE (E.G., DRIVER'S LICENSE, BUILDING PASS). INDIVIDUALS WHO REQUEST NOTIFICATION BY MAIL MUST SUPPLY NOTARIZED SIGNATURE AS PROOF OF IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: FELLOWSHIP APPLICANT.

Systems exempted from certain provisions of the act: NONE.

09-30-0031

System name: SAINT ELIZABETHS HOSPITAL BIOMETRICS SYSTEM. HHS/ADAMHA/NIMH.

Security classification: NONE.

System location:

BIOMETRICS BRANCH
ST. ELIZABETHS HOSPITAL
ADMINISTRATION BUILDING
WASHINGTON, D.C. 20032

Categories of individuals covered by the system: FORMER & CURRENT PATIENTS.

Categories of records in the system: PATIENT NAME, HOSPITAL NUMBER, DEMOGRAPHIC AND INDIVIDUAL CHARACTERISTICS, TRACKING OR PATIENT MOVEMENT AND BILLING INFORMATION.

Authority for maintenance of the system: 24 USC 161, ET SEQ.

Purpose(s):

DATA IS USED FOR PATIENT BILLING AND TO GENERATE SPECIAL AND RECURRING REPORTS FOR ADMINISTRATORS, HEALTH PROFESSIONALS, MANAGERS, AND RESEARCHERS FOR THEIR PROGRAM MANAGEMENT, PLANNING, ANALYSIS, EVALUATION AND RESEARCH.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. INFORMATION IS DISCLOSED TO D.C. MENTAL HEALTH AREAS FOR CONTINUITY OF CARE, AFTER CARE AND COMMUNITY FOLLOW-UP.
2.

A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:

(A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED;
(B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;
(C) HAS REQUIRED THE RECIPIENT TO -- (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION,

AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT – (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW; (D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

3. DATA IS PROVIDED TO VOLUNTEERS INVOLVED IN THE TREATMENT PROCESS OF THE HOSPITAL.

4. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

5. IN THE EVENT OF LITIGATION WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE, THE DEPARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF ACTIVITIES OF THE PUBLIC HEALTH SERVICE IN CONNECTION WITH SUCH INDIVIDUAL).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: SAINT ELIZABETHS HOSPITAL FORMS, FILE FOLDERS, PUNCH CARDS AND MAGNETIC TAPE.

Retrievability: HOSPITAL CASE NUMBER, NAME, PRE-DETERMINED CODES. SOME SUBSYSTEMS KEPT IN CHRONOLOGICAL ORDER.

Safeguards: EMPLOYEE TRAINING, RESTRICTED ACCESS, LOCKED AT NIGHT. FOR COMPUTERIZED RECORDS THERE IS A PASSWORD SYSTEM IN EFFECT.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD FOR THESE RECORDS MAY BE OBTAINED BY WRITING THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address:

DIRECTOR, BIOMETRICS BRANCH
ADMINISTRATION BLDG., ST. ELIZABETHS HOSPITAL
WASH., D.C. 20032

Notification procedure: A PATIENT OR FORMER PATIENT MAY LEARN IF A RECORD EXISTS UPON WRITTEN REQUEST, WITH NOTARIZED SIGNATURE, DIRECTED TO:

PRIVACY ACT COORDINATOR
BIOMETRICS BRANCH
ADMINISTRATION BLDG., SAINT ELIZABETHS HOSPITAL
WASHINGTON, D.C. 20032

ALL OF THE FOLLOWING INFORMATION MUST BE PROVIDED:

(A) FULL NAME;
(B) APPROXIMATE DATES OF ENROLLMENT AT SAINT ELIZABETHS HOSPITAL;
(C) THE NATURE OF THE MATERIAL DESIRED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: SAINT ELIZABETHS HOSPITAL FORMS PREPARED BY STAFF.

Systems exempted from certain provisions of the act: NONE.

09-30-0033

System name: CORRESPONDENCE FILES. HHS/ADAMHA/OA.

Security classification: NONE.

System location:

ADAMHA EXECUTIVE SECRETARIAT
ROOM 12-94, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD. 20857

EXECUTIVE SECRETARIAT, NATIONAL INSTITUTE ON DRUG ABUSE
ROOM 10A-23 PARKLAWN BLDG.
5600 FISHERS LANE
ROCKVILLE, MD. 20857

EXECUTIVE SECRETARIAT, NATIONAL INSTITUTE OF ALCOHOL ABUSE AND ALCOHOLISM
ROOM 16-C-02, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD. 20857

EXECUTIVE SECRETARIAT, NATIONAL INSTITUTE OF MENTAL HEALTH
ROOM 17C-10, PARKLAWN BUILDING
5600 FISHERS LANE
ROCKVILLE, MD. 20857

Categories of individuals covered by the system: INDIVIDUALS WHO REQUEST INFORMATION ON ADAMHA PROGRAMS.

Categories of records in the system: CORRESPONDENCE.

Authority for maintenance of the system: 21 U.S.C. 1191; 42 U.S.C. SECTIONS 289K-1, 3511, 4551

Purpose(s):

TO PROVIDE REFERENCE RETRIEVAL AND CONTROL TO ASSURE TIMELY AND APPROPRIATE ATTENTION.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: CORRESPONDENCE RECORDS MAINTAINED IN HARD COPY; CONTROL RECORDS MAINTAINED ON COMPUTER PRINTOUT, TAPE, AND DISC.

Retrievability: HARD COPY RECORDS INDEXED ALPHABETICALLY BY NAME AND DATE OF OUTGOING CORRESPONDENCE AND ALSO BY SUBJECT. RECORDS ARE CROSS-REFERENCED IN DETAIL ON COMPUTER.

Safeguards: RECORDS ARE MAINTAINED IN FILE CABINETS IN A SECURE LOCATION. ACCESS TO COMPUTER SYSTEM IS LIMITED TO SPECIFIC INDIVIDUALS THROUGH THE USE OF PASSWORDS.

Retention and disposal: RECORDS MAY BE RETIRED TO A FEDERAL RECORDS CENTER AND SUBSEQUENTLY DISPOSED OF IN ACCORDANCE WITH THE ADAMHA RECORDS CONTROL SCHEDULE. THE RECORDS CONTROL SCHEDULE AND DISPOSAL STANDARD MAY BE OBTAINED BY WRITING TO THE SYSTEM MANAGER AT THE ADDRESS BELOW.

System manager(s) and address: SAME AS LOCATION.

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE APPLICABLE SYSTEM MANAGER AT THE ADDRESS ABOVE. GIVE INDIVIDUAL'S NAME AND APPROXIMATE DATE OF RECORD REQUESTED.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

Contesting record procedures: CONTACT THE APPROPRIATE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION TO BE CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: RECORDS ARE DERIVED FROM INCOMING AND OUTGOING CORRESPONDENCE.

Systems exempted from certain provisions of the act: NONE.

09-30-0034

System name: Professional Development Program Registries of the National Training System for Substance Abuse Services, HHS/ADAMHA/NIDA.

Security classification: None.

System location:

Division of Training, National Institute on Drug Abuse, Alcohol, Drug Abuse, and Mental Health Administration, Room 10A-46, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857.

Health Control Systems, Inc., 11325 Seven Locks Road, Potomac, Maryland 20854.

Federal Records Center (WNRC), Suitland, Maryland.

Categories of individuals covered by the system: Persons who have participated in National Training System (NTS) courses either as trainees or as instructors/trainers. The term "trainees" encompasses all categories of persons who are students in NTS courses, whether or not they have experience yet in the substance abuse services and/or training fields. "Instructors" are persons qualified to teach one or several aspects of an NTS course, but not qualified in all aspects of teaching techniques and not authorized within NTS to validate another person's qualifications for training others to teach the course content. "Trainers" are persons who are qualified through NTS-recognized academic or specialized preparation in all aspects of an NTS course, and are certified by NTS to teach the course, train and supervise other persons to teach it, and validate other persons' qualifications to teach it for NTS. An individual's status can vary from course to course. Persons who have participated in substance abuse-related training activities that meet NTS standards but are provided by non-NTS organizations are also included in the registries at the participants' option.

Categories of records in the system: Course records which include: name, birthdate, sex, address, employment, length of time employed in the field of substance abuse services training, name and version of course, course completion records, date of course, name of instructor/trainer or trainees as appropriate, and training sponsor.

Authority for maintenance of the system: Drug Abuse Office and Treatment Act of 1972 as amended, Sections 410 and 501 (21 U.S.C. 1177 and 1191); Public Health Service Act, Section 301 (42 U.S.C. 241(a)).

Purpose(s):

The registries which constitute this system of records enable individuals to obtain confirmation of their successful completion of substance abuse training courses. This in turn enables them to obtain the certification of academic credit necessary to verify their qualifications for employment in the substance abuse training or services fields. Disclosures for this purpose are made only to subject individuals or others as subject individuals permit in writing, such as academic institutions and potential employers.

Individually identifiable information will not be otherwise disclosed to persons or organizations either within or outside the DHHS except as provided by the routine uses set forth and as otherwise provided by Section 3(b) of the Privacy Act (5 U.S.C. 552a(b)). The nonindividually identified aggregate data will be analyzed by the National Institute on Drug Abuse (NIDA) for quality control and will be available to the public for purposes of identifying drug abuse services training trends.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating, or otherwise refining the records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

3. Disclosure may be made to members of the Professional Development Program Standards Committee (PDPSC) to enable them to carry out their responsibilities for certification of instructors/trainers and confirmation of trainees' participation in courses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Batch control sheets, individual registration forms (automated and nonautomated), keypunch cards, computer tapes and discs are utilized.

Retrievability: The system is filed by the name of the trainee or instructor/trainer.

Safeguards: Records are kept in premises with limited accessibility. Individually identifiable information in paper media (batch control sheets, registration forms, and keypunch cards) are stored in locked cabinets. For computerized records, safeguards established in accordance with the National Bureau of Standards guidelines and HHS's System Manual, Part 6, ADP System Security, are utilized. Specifically, premises are secured in accordance with existing security systems for safeguarding records at the Federal Government computer center in the Parklawn Building, Rockville, Maryland. Security personnel patrol the premises there 24 hours a day. Computer systems are secured through locked magnetic disc libraries as well as a password access computer system.

These safeguards are in accordance with the DHHS General Administration Manual, Chapters 45-13 and PHS.hf: 45-13.

Note.—NIDA contracts with non-Federal parties shall stipulate agreement to the above procedures on the part of the contractor.

Retention and disposal: The current NTS standard requires that NTS instructors/trainers teach a course every 18 months in order to be recertified. Most States and academic institutions similarly require their staffs to periodically update their knowledge and skills through continuing education courses. If individuals discontinue their participation in NTS or NTS-approved training, supporting records of their participation become obsolete rather rapidly for purposes of verifying qualifications. Therefore, records on an individual are retained for only three years following the individual's most recent completion of course requirements for earning academic credit and/or meeting employment qualifications. After three years with no further reported activity, only information on an individual's date(s) of certification(s) as instructor/trainer in NTS course(s) is retained indefinitely.

Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the ADAMHA Records Control Schedule. The records control schedule and disposal standard for these records may be obtained by writing to the System Manager at the address below.

System manager(s) and address:

Registrar, Professional Development Program, Division of Training, NIDA, Alcohol, Drug Abuse, and Mental Health Administration, Room 10A-46, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857.

Notification procedure: To determine if a record exists, write to the System Manager at the address above. An individual may learn if a record exists about himself or herself upon written request with notarized signature. The following information should be provided: full name at the time of training and, if known, location and date when training was provided, course name, and name of instructor/trainer and/or sponsoring organization.

Your Social Security number would be helpful for record locating purposes, but it is not required.

Record access procedures: Same as Notification Procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Trainee registration form for each trainee in a course, containing personal and professional background information and course completion validation; and "batch control" sheet for each course, identifying instructor(s)/trainer(s) and trainees. For instructors/trainers, sources also include: reports from national, State, and regional certification authorities; NTS national workshop recommendations; and equivalent sources upon which the Professional De-

velopment Program Standards Committee (PDPSC) will base decisions on certification of instructors/trainers.

Systems exempted from certain provisions of the act: None.

09-30-0035

System name: THREE MILE ISLAND MENTAL HEALTH SURVEY, RESPONDENT RECORDS HHS/ADAMHA/NIMH

Security classification: NONE.

System location:

WESTERN PSYCHIATRIC INSTITUTE AND CLINIC
UNIVERSITY OF PITTSBURGH
PITTSBURGH, PENNSYLVANIA 15260 PERSONS PARTICIPATING IN THE THREE MILE ISLAND STUDY OF MENTAL HEALTH SPONSORED BY THE NATIONAL INSTITUTE OF MENTAL HEALTH FOLLOWING THE NUCLEAR REACTOR ACCIDENT OF MARCH 28, 1979. CONTROL GROUP PARTICIPANTS FROM BEAVER COUNTY, PENNSYLVANIA, ARE ALSO INCLUDED. THE RESEARCH AND CONTROL GROUPS BOTH CONSIST OF WORKERS IN NUCLEAR PLANTS, MOTHER OF YOUNG CHILDREN, AND MENTAL HEALTH SYSTEM CLIENTS.

Categories of records in the system: NAME, ADDRESS, AND RESPONSES TO THE FOLLOWING INTERVIEW INSTRUMENTS, AS APPROPRIATE: SOCIODEMOGRAPHIC INFORMATION; PHYSICAL ILLNESS OVERVIEW; LIFE EVENTS; SYMPTOM CHECK LIST-90; SOCIAL NETWORK INTERVIEW; CURRENT MENTAL HEALTH; JOB RELATED ISSUES; LANGNER SCREENING INVENTORY; AND SCHEDULE FOR AFFECTIVE DISORDERS AND SCHIZOPHRENIA, LIFETIME VERSION (SADS-L). THE CURRENT MENTAL HEALTH AND THE SADS-L INSTRUMENTS INCLUDE INTERVIEWERS' INTERPRETATIONS AND DIAGNOSES.

Authority for maintenance of the system: SECTION 301, PUBLIC HEALTH SERVICE ACT, 42 USC 241, PART A, RESEARCH AND INVESTIGATIONS.

Purpose(s):

THE SYSTEM IS CREATED TO ENABLE THE GOVERNMENT TO ARRANGE FOR FOLLOW-UP STUDY AT A LATER DATE. SUCH A FOLLOW-UP WOULD DEMONSTRATE WHETHER ANY MENTAL HEALTH EFFECTS DETECTED IN THIS STUDY ARE OF A TRANSIENT OR LONG-TERM NATURE. WITHOUT SUCH KNOWLEDGE, IT IS IMPOSSIBLE TO DEVELOP REALISTIC PLANS FOR ADEQUATELY MEETING PEOPLE'S NEEDS IN TIME OF DISASTER. CURRENTLY, FOR EXAMPLE, IN THE ABSENCE OF KNOWLEDGE ABOUT THE DURATION OF DISASTER-PRECIPITATED MENTAL HEALTH PROBLEMS, FEDERAL GRANTS FOR PROVIDING MENTAL HEALTH SERVICES TO DISASTER VICTIMS ARE LIMITED TO A 6-MONTH PERIOD. FOLLOW-UP STUDIES, SUCH AS THE ONE PROPOSED HERE, WOULD HELP TO ASCERTAIN THE SOUNDNESS OF SUCH A POLICY.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:

(A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED;

(B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;

(C) HAS REQUIRED THE RECIPIENT TO -- (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT -- (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW;

(D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY THESE PROVISIONS.

2. DISCLOSURE OF RELEVENT RECORDS MAY BE MADE TO A PRIVATE FIRM FOR THE PURPOSE OF COLLATING, ANALYZING, AGGREGATING, OR OTHERWISE REFINING RECORDS IN THIS SYSTEM. THE CONTRACTOR WILL BE REQUIRED TO MAINTAIN PRIVACY ACT SAFEGUARDS WITH RESPECT TO SUCH RECORDS.

3. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO AN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE WRITTEN REQUEST OF THAT INDIVIDUAL.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: ORIGINAL QUESTIONNAIRES HAVE BEEN CONVERTED TO MICROFICHE, AND THE QUESTIONNAIRES DESTROYED BY SHREDDING. TWO SETS OF MICROFICHE, INCLUDING THE CROSS INDEXES, ARE BEING MAINTAINED IN SEPARATE LOCATIONS.

Retrievability: RECORDS ARE BEING MAINTAINED IN NUMERICAL ORDER BY THE ASSIGNED IDENTIFICATION NUMBER. AN INDEX IS ALSO MAINTAINED BY NAME AND IDENTIFICATION NUMBER FOR CROSS REFERENCE.

Safeguards: THE MICROFICHE ARE BOXED AND SEALED AND ARE BEING STORED IN A SECURED SAFE AND/OR VAULT, ACCESS TO WHICH IS PERMITTED ONLY IF AUTHORIZED IN WRITING BY THE DIRECTOR OF SPONSORED RESEARCH OR AN AUTHORIZED UNIVERSITY OFFICIAL. TWO SETS OF MICROFICHE WERE MADE TO ENSURE CONTINUATION OF THE SYSTEM IN THE EVENT OF AN UNEXPECTED CATASTROPHE WHICH COULD RESULT IN THE DESTRUCTION OF THE ORIGINAL SET. THESE SAFEGUARDS ARE IN ACCORDANCE WITH GENERAL ADMINISTRATION MANUAL CHAPTER 45-13 AND CHAPTER PHS.HF 45-13.

Retention and disposal: RETENTION OF MICROFICHE WILL NOT EXCEED TWENTY-TWO (22) YEARS FROM DATE OF RECORDING. DESTRUCTION WILL BE BY BURNING, CERTIFIED BY AN AUTHORIZED UNIVERSITY OFFICAL.

System manager(s) and address:

CHIEF
DISASTER ASSISTANCE AND EMERGENCY MENTAL HEALTH
DIVISION OF SPECIAL MENTAL HEALTH PROGRAMS
NATIONAL INSTITUTE OF MENTAL HEALTH
5600 FISHERS LANE ROOM 18-97
ROCKVILLE, MARYLAND 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, CONTACT THE SYSTEM MANAGER AT THE ADDRESS ABOVE. WRITTEN REQUESTS MUST CONTAIN FULL NAME AND NOTARIZED SIGNATURE, AND ADDRESS AT TIME OF INTERVIEW. REQUESTS MADE IN

PERSON REQUIRE IDENTIFICATION, SUCH AS DRIVER'S LICENSE, UNION CARD, PASSPORT, OR NOTARIZED STATEMENT THAT THE PERSON IS WHO HE/SHE CLAIMS TO BE.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTORS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT, INCLUDING THE NAME OF THE INTERVIEW INSTRUMENT(S), IF KNOWN. BECAUSE THE CURRENT MENTAL HEALTH INSTRUMENT AND THE SCHEDULE FOR AFFECTIVE DISORDERS AND SCHIZOPHRENIA INCLUDE INTERVIEWER DIAGNOSES, THESE PORTIONS OF THE RECORD CONSTITUTE MEDICAL RECORDS. AN INDIVIDUAL WHO REQUESTS NOTIFICATION OF, OR ACCESS TO, A MEDICAL RECORD SHALL, AT THE TIME THE REQUEST IS MADE, DESIGNATE IN WRITING A RESPONSIBLE REPRESENTATIVE WHO WILL BE WILLING TO REVIEW THE RECORD AND INFORM THE SUBJECT INDIVIDUAL OF ITS CONTENTS AT THE REPRESENTATIVE'S DISCRETION.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION BEING CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: INDIVIDUALS IN THE SYSTEM.

Systems exempted from certain provisions of the act: NONE.

09-30-0036

System name: MENTAL HEALTH EPIDEMIOLOGIC AND BIOMETRIC RESEARCH DATA, HHS/ADAMHA/NIMH

Security classification: NONE.

System location: RECORDS ARE LOCATED AT THE RESEARCH FACILITIES WHICH COLLECT OR PROVIDE RESEARCH DATA FOR THIS SYSTEM UNDER CONTRACT TO THE AGENCY. CONTRACTORS MAY INCLUDE: RESEARCH CENTERS, CLINICS, HOSPITALS, UNIVERSITIES, RESEARCH FOUNDATIONS, AND COORDINATING CENTERS. RECORDS MAY ALSO BE LOCATED AT THE RESEARCH FACILITIES OF THE DIVISION OF BIOMETRY AND EPIDEMIOLOGY, NATIONAL INSTITUTE OF MENTAL HEALTH. A CURRENT LIST OF SITES IS AVAILABLE BY WRITING TO THE SYSTEM MANAGER AT THE ADDRESS BELOW.

Categories of individuals covered by the system: INDIVIDUALS WHO ARE THE SUBJECTS OF RESEARCH IN EPIDEMIOLOGIC, CLINICAL, METHODOLOGIC, AND LONGITUDINAL RESEARCH STUDIES OF MENTAL HEALTH AND MENTAL DISORDERS. THESE INDIVIDUALS ARE SELECTED AS REPRESENTATIVE OF THE GENERAL POPULATION OR OF SPECIAL GROUPS. SPECIAL GROUPS MIGHT INCLUDE, BUT ARE NOT LIMITED TO: CLIENTS REFERRED FOR OR RECEIVING MEDICAL OR MENTAL HEALTH SERVICES; PROVIDERS OF HEALTH/MENTAL HEALTH SERVICES; DEMOGRAPHIC SUB-GROUPS AS APPLICABLE, SUCH AS AGE, SEX, ETHNICITY, RACE, OCCUPATION, GEOGRAPHIC LOCATION; AND GROUPS EXPOSED TO HYPOTHESIZED RISKS, SUCH AS RELATIVES OF INDIVIDUALS WITH DISORDERS, INDIVIDUALS WHO HAVE EXPERIENCED LIFE STRESSES, OR INDIVIDUALS WITH PREVIOUS HISTORY OF ILLNESS.

Categories of records in the system: THE SYSTEM CONTAINS VARYING ITEMS ABOUT THE INDIVIDUAL AS RELEVANT TO A PARTICULAR RESEARCH STUDY. EXAMPLES INCLUDE, BUT ARE NOT LIMITED TO, ITEMS ABOUT THE HEALTH/MENTAL HEALTH OF THE INDIVIDUAL, DEMOGRAPHIC DATA, PAST AND PRESENT LIFE EXPERIENCES, PERSONALITY CHARACTERISTICS, SOCIAL FUNCTIONING, UTILIZATION OF HEALTH/MENTAL HEALTH SERVICES, FAMILY HISTORY, PHYSIOLOGICAL MEASURES, AND CHARACTERISTICS AND ACTIVITIES OF HEALTH/MENTAL HEALTH CARE PROVIDERS.

Authority for maintenance of the system: SECTION 301 OF THE PUBLIC HEALTH SERVICE ACT, 42 U.S.C. 241, GENERAL RESEARCH AND INVESTIGATION AUTHORITIES.

Purpose(s):

THE PURPOSE OF THE SYSTEM OF RECORDS IS TO COLLECT AND MAINTAIN A DATA BASE FOR RESEARCH ACTIVITIES OF THE DIVISION OF BIOMETRY AND EPIDEMIOLOGY (DBE) OF THE NATIONAL INSTITUTE OF MENTAL HEALTH (NIMH). ANALYSES OF THESE DATA INVOLVE GROUPS OF INDIVIDUALS WITH GIVEN CHARACTERISTICS AND DO NOT REFER TO SPECIFIC INDIVIDUALS. THE GENERATION OF INFORMATION AND STATISTICAL ANALYSES WILL ULTIMATELY LEAD TO A BETTER DESCRIPTION AND UNDERSTANDING OF MENTAL DISORDERS, THEIR TREATMENT AND PREVENTION, AND THE PROMOTION OF MENTAL HEALTH.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:
   (A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED; E.G., DISCLOSURE OF ALCOHOL OR DRUG ABUSE PATIENT RECORDS WILL BE MADE ONLY IN ACCORDANCE WITH THE RESTRICTIONS OF CONFIDENTIALITY STATUTES AND REGULATIONS 42 U.S.C. 4582, 21 U.S.C. 1175, AND 42 CFR, PARTS 2 AND 2A, AND WHERE APPLICABLE, NO DISCLOSURES WILL BE MADE INCONSISTENT WITH AN AUTHORIZATION OF CONFIDENTIALITY UNDER 42 U.S.C. 242A AND 42 CFR PART 2A;
   (B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;
   (C) HAS REQUIRED THE RECIPIENT TO -- (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, AND (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT -- (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW; AND
   (D) HAS SECURED A WRITTEN STATEMENT ATTESTING TO THE RECIPIENT'S UNDERSTANDING OF, AND WILLINGNESS TO ABIDE BY, THESE PROVISIONS.

2. DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO A VERIFIED INQUIRY FROM A CONGRESSIONAL OFFICE MADE AT THE WRITTEN REQUEST OF THAT INDIVIDUAL.

3. IN THE EVENT OF LITIGATION, WHERE THE DEFENDANT IS (A) THE DEPARTMENT, ANY COMPONENT OF THE DEPARTMENT, OR ANY EMPLOYEE OF THE DEPARTMENT IN HIS OR HER OFFICIAL CAPACITY; (B) THE UNITED STATES WHERE THE DEPARTMENT DETERMINES THAT THE CLAIM, IF SUCCESSFUL, IS LIKELY TO DIRECTLY AFFECT THE OPERATIONS OF THE DEPARTMENT OR ANY OF ITS COMPONENTS; OR (C) ANY DEPARTMENT EMPLOYEE IN HIS OR HER INDIVIDUAL CAPACITY WHERE THE JUSTICE DEPARTMENT HAS AGREED TO REPRESENT SUCH EMPLOYEE; THE DE-

PARTMENT MAY DISCLOSE SUCH RECORDS AS IT DEEMS DESIRABLE OR NECESSARY TO THE DEPARTMENT OF JUSTICE TO ENABLE THAT DEPARTMENT TO PRESENT AN EFFECTIVE DEFENSE, PROVIDED SUCH DISCLOSURE IS COMPATIBLE WITH THE PURPOSE FOR WHICH THE RECORDS WERE COLLECTED (E.G., DISCLOSURE MAY BE MADE TO THE DEPARTMENT OF JUSTICE OR OTHER APPROPRIATE FEDERAL AGENCIES IN DEFENDING CLAIMS AGAINST THE UNITED STATES WHEN THE CLAIM IS BASED UPON AN INDIVIDUAL'S MENTAL OR PHYSICAL CONDITION AND IS ALLEGED TO HAVE ARISEN BECAUSE OF THE INDIVIDUAL'S PARTICIPATION IN ACTIVITIES OF A FEDERAL GOVERNMENT SUPPORTED RESEARCH PROJECT).

4. IN THE EVENT THE DEPARTMENT DEEMS IT DESIRABLE OR NECESSARY, IN DETERMINING WHETHER PARTICULAR RECORDS ARE REQUIRED TO BE DISCLOSED UNDER THE FREEDOM OF INFORMATION ACT, DISCLOSURE MAY BE MADE TO THE DEPARTMENT OF JUSTICE FOR THE PURPOSE OF OBTAINING ITS ADVICE.

5. THE DEPARTMENT CONTEMPLATES THAT IT WILL CONTRACT WITH A PRIVATE FIRM FOR THE PURPOSE OF COLLECTING, ANALYZING, AGGREGATING, OR OTHERWISE REFINING RECORDS IN THIS SYSTEM. RELEVANT RECORDS WILL BE DISCLOSED TO SUCH CONTRACTOR. THE CONTRACTOR SHALL BE REQUIRED TO MAINTAIN PRIVACY ACT SAFEGUARDS WITH RESPECT TO SUCH RECORDS.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: RECORDS ARE STORED IN VARIOUS WAYS INCLUDING FILE FOLDERS, COMPUTER CARDS, COMPUTER TAPES OR DISKS, MICROFICHE, AUDIO OR VIDEO TAPES, AND INDEX CARDS. NORMALLY, THE FACTUAL DATA, WITH STUDY CODE NUMBERS, ARE STORED ON COMPUTER TAPE OR DISK, WHILE THE KEY TO PERSONAL IDENTIFIERS IS STORED SEPARATELY, WITHOUT FACTUAL DATA, IN PAPER FILES.

Retrievability: DURING DATA COLLECTION STAGES AND FOLLOWUP, IF ANY, RETRIEVAL BY PERSONAL IDENTIFIER (E.G., NAME OR MEDICAL RECORD NUMBER) IS NECESSARY. DURING THE DATA ANALYSIS STAGE, DATA ARE NORMALLY RETRIEVED BY THE VARIABLES OF INTEREST (E.G., DIAGNOSIS, AGE, OCCUPATION).

Safeguards:

(A) PHYSICAL - PHYSICAL SECURITY IS ACHIEVED BY STORING RECORDS IN LOCKED ROOMS, LOCKED FILE CABINETS, AND/OR SECURE COMPUTER FACILITIES. ACCESS TO PERSONAL IDENTIFIERS IS SAFEGUARDED BY LOCKED FILES AND BY SEPARATING DATA FROM IDENTIFIERS AS MUCH AS POSSIBLE. DATA STORED IN COMPUTERS IS SECURED IN VARIOUS WAYS, INCLUDING ACCESS THROUGH THE USE OF KEY WORDS KNOWN ONLY TO AUTHORIZED PERSONNEL.

(B) PROCEDURAL - COLLECTION AND MAINTENANCE OF THE INFORMATION IS DONE IN A MANNER CONSISTENT WITH LEGISLATION AND REGULATIONS IN THE PROTECTION OF HUMAN SUBJECTS, INFORMED CONSENT, AND CONFIDENTIALITY. WHEN DBE OR A CONTRACTOR PROVIDES ANONYMOUS DATA TO RESEARCH SCIENTISTS FOR ANALYSIS, STUDY NUMBERS WHICH CAN BE MATCHED TO PERSONAL IDENTIFIERS WILL BE ELIMINATED OR REPLACED BY THE DIVISION OR THE CONTRACTOR WITH RANDOM NUMBERS WHICH CANNOT BE SO MATCHED.

(C) AUTHORIZED PERSONNEL - ACCESS TO IDENTIFIERS AND TO THE CODE WHICH MATCHES STUDY MEMBERS WITH THEM IS STRICTLY LIMITED TO THE AUTHORIZED PERSONNEL WHOSE DUTIES REQUIRE SUCH ACCESS. PROCEDURES FOR DETERMINING AUTHORIZED ACCESS TO IDENTIFIED DATA ARE ESTABLISHED AS APPROPRIATE FOR EACH LOCATION. PERSONNEL WHO MAY BE SO AUTHORIZED INCLUDE THOSE DIRECTLY INVOLVED IN DATA COLLECTION AND IN THE DESIGN OF RESEARCH STUDIES, E.G., INTERVIEWERS AND INTERVIEWER SUPERVISORS; PROJECT MANAGERS; STATISTICIANS INVOLVED IN DESIGNING SAMPLING PLANS.

THE SAFEGUARDS DESCRIBED FOR COMPUTERIZED RECORDS ARE IN ACCORDANCE WITH PART 6, SYSTEMS SECURITY, OF THE DEPARTMENT'S ADP SYSTEMS MANUAL. THE SAFEGUARDS DESCRIBED FOR NONAUTOMATED RECORDS ARE IN ACCORDANCE WITH CHAPTER 45-13, IN THE GENERAL ADMINISTRATION MANUAL, AND THE SUPPLEMENTARY PHS CHAPTER.

Retention and disposal: IDENTIFIERS ARE RETAINED ONLY AS LONG AS THEY ARE NEEDED FOR THE PURPOSES OF THE CURRENT RESEARCH PROJECT, AND FOR FOLLOW-UP STUDIES GENERATED BY THE PRESENT STUDY. DISPOSAL OF IDENTIFIERS IS DONE ACCORDING TO THE STORAGE MEDIUM (E.G., ERASE COMPUTER TAPE, SHRED OR BURN INDEX CARDS, ETC.). A STAFF PERSON DESIGNATED BY THE SYSTEM MANAGER WILL OVERSEE AND WILL DESCRIBE AND CONFIRM THE DISPOSAL IN WRITING.

System manager(s) and address:

DIRECTOR, DIVISION OF BIOMETRY & EPIDEMIOLOGY
NATIONAL INSTITUTE OF MENTAL HEALTH
ALCOHOL, DRUG ABUSE AND MENTAL HEALTH ADMINISTRATION
PARKLAWN BUILDING
ROOM 18C-26, 5600 FISHERS LANE
ROCKVILLE, MD 20857

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. PROVIDE INDIVIDUAL'S NAME; CURRENT ADDRESS; DATE OF BIRTH; DATE, PLACE AND NATURE OF PARTICIPATION IN SPECIFIC RESEARCH STUDY; NAME OF INDIVIDUAL OR ORGANIZATION ADMINISTERING THE RESEARCH STUDY (IF KNOWN); NAME OR DESCRIPTION OF THE RESEARCH STUDY (IF KNOWN); ADDRESS AT THE TIME OF PARTICIPATION; AND A NOTARIZED STATEMENT BY TWO WITNESSES ATTESTING TO THE INDIVIDUAL'S IDENTITY.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

AN INDIVIDUAL WHO REQUESTS NOTIFICATION OF, OR ACCESS TO, A MEDICAL RECORD SHALL, AT THE TIME THE REQUEST IS MADE, DESIGNATE IN WRITING A RESPONSIBLE REPRESENTATIVE WHO WILL BE WILLING TO REVIEW THE RECORD AND INFORM THE SUBJECT INDIVIDUAL OF ITS CONTENTS AT THE REPRESENTATIVE'S DISCRETION.

A PARENT OR GUARDIAN WHO REQUESTS NOTIFICATION OF, OR ACCESS TO, A CHILD'S OR INCOMPETENT PERSON'S MEDICAL RECORD SHALL DESIGNATE A FAMILY PHYSICIAN OR OTHER HEALTH PROFESSIONAL (OTHER THAN A FAMILY MEMBER) TO WHOM THE RECORD, IF ANY, WILL BE SENT. THE PARENT OR GUARDIAN MUST VERIFY RELATIONSHIP TO THE CHILD OR INCOMPETENT PERSON AS WELL AS HIS OR HER OWN IDENTITY.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION BEING CONTESTED, AND STATE CORRECTIVE ACTION SOUGHT.

Record source categories: THE SYSTEM CONTAINS INFORMATION OBTAINED DIRECTLY FROM THE SUBJECT INDIVIDUAL BY INTERVIEW (FACE-TO-FACE OR TELEPHONE), BY WRITTEN QUESTIONNAIRE, OR BY OTHER TESTS, RECORDING DEVICES OR OBSERVATIONS, CONSISTENT WITH LEGISLATION AND REGULATION REGARDING INFORMED CONSENT AND PROTECTION OF HUMAN SUBJECTS. INFORMATION IS ALSO OBTAINED FROM OTHER SOURCES, SUCH AS HEALTH AND MENTAL HEALTH CARE PROVIDERS, RELATIVES,

GUARDIANS, AND CLINICAL MEDICAL RESEARCH RECORDS.

Systems exempted from certain provisions of the act: NONE.

09–30–0037

System name: PSYCHOTHERAPY OF OPIATE-DEPENDENT INDIVIDUALS,HHS/ADAMHA/NIDA.

Security classification: NONE.

System location:

DRUG DEPENDENCE TREATMENT AND RESEARCH CENTER, PHILADELPHIA VETERANS ADMININISTRATION HOSPITAL (116D), UNIVERSITY AND WOODLAND AVENUES, PHILADELPHIA, PENNSYLVANIA 19104.

UNIVERSITY OF PENNSYLVANIA, 39TH STREET AND WOODLAND AVENUE, PHILADELPHIA, PENNSYLVANIA 19104.

Categories of individuals covered by the system: RESEARCH SUBJECTS ARE ADULT CLIENTS ADMITTED TO A PARTICIPATING DRUG ABUSE TREATMENT PROGRAM OFFERED BY AND LOCATED IN THE PHILADELPHIA VETERANS ADMINISTRATION HOSPITAL, BETWEEN SEPTEMBER 30,1977, AND SEPTEMBER 29,1981.

Categories of records in the system: NAME AND ADDRESS OF STUDY SUBJECTS AND THEIR RESPONSES TO INTERVIEW INSTRUMENTS AND TESTS IN THE FOLLOWING AREAS: SOCIODEMOGRAPHIC CHARACTERISTICS; PSYCHIATRIC DIAGNOSIS; SYMPTOM, SOCIAL FUNCTIONING AND PERSONALITY MEASURES. INFORMATION ON THE DRUG ABUSE TREATMENT AND PSYCHOTHERAPY PROVIDED, AND THERAPISTS' EVALUATIONS, ARE ALSO INCLUDED.

Authority for maintenance of the system: DRUG ABUSE OFFICE AND TREATMENT ACT, SECTIONS 410 AND 503 (21 U.S.C. 1177 AND 1193); PUBLIC HEALTH ACT, SECTION 301 (42 U.S.C. 241).

Purpose(s):

THE SYSTEM WAS CREATED TO PROVIDE A DATA BASE TO BE USED BY NIDA FOR RESEARCH LEADING TO A BETTER KNOWLEDGE AND UNDERSTANDING OF THE PSYCHIATRIC STATUS OF OPIATE-DEPENDENT INDIVIDUALS AND TO DETERMINE THE EFFICACY OF PSYCHOTHERAPY AS PART OF A TREATMENT PROGRAM FOR SUCH INDIVIDUALS. WE DO NOT ANTICIPATE ANY DISCLOSURE OF INDIVIDUALLY IDENTIFIABLE INFORMATION TO OTHER PERSONS OR ORGANIZATIONS WITHIN THE DEPARTMENT OF HEALTH AND HUMAN SERVICES. SHOULD A REQUEST FOR DISCLOSURE OCCUR WITHIN THE DEPARTMENT, SUCH AS PROVIDED BY SECTION 3(b) OF THE PRIVACY ACT, DISCLOSURE WOULD NOT BE PERMITTED EXCEPT IN ACCORDANCE WITH CONFIDENTIALITY REGULATIONS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. A RECORD MAY BE DISCLOSED FOR A RESEARCH PURPOSE, WHEN THE DEPARTMENT:

(A) HAS DETERMINED THAT THE USE OR DISCLOSURE DOES NOT VIOLATE LEGAL OR POLICY LIMITATIONS UNDER WHICH THE RECORD WAS PROVIDED, COLLECTED, OR OBTAINED;

(B) HAS DETERMINED THAT THE RESEARCH PURPOSE (1) CANNOT BE REASONABLY ACCOMPLISHED UNLESS THE RECORD IS PROVIDED IN INDIVIDUALLY IDENTIFIABLE FORM, AND (2) WARRANTS THE RISK TO THE PRIVACY OF THE INDIVIDUAL THAT ADDITIONAL EXPOSURE OF THE RECORD MIGHT BRING;

(C) HAS REQUIRED THE RECIPIENT TO (1) ESTABLISH REASONABLE ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS TO PREVENT UNAUTHORIZED USE OR DISCLOSURE OF THE RECORD, (2) REMOVE OR DESTROY THE INFORMATION THAT IDENTIFIES THE INDIVIDUAL AT THE EARLIEST TIME AT WHICH REMOVAL OR DESTRUCTION CAN BE ACCOMPLISHED CONSISTENT WITH THE PURPOSE OF THE RESEARCH PROJECT, UNLESS THE RECIPIENT HAS PRESENTED ADEQUATE JUSTIFICATION OF A RESEARCH OR HEALTH NATURE FOR RETAINING SUCH INFORMATION, AND (3) MAKE NO FURTHER USE OR DISCLOSURE OF THE RECORD EXCEPT: (A) IN EMERGENCY CIRCUMSTANCES AFFECTING THE HEALTH OR SAFETY OF ANY INDIVIDUAL, (B) FOR USE IN ANOTHER RESEARCH PROJECT, UNDER THESE SAME CONDITIONS, AND WITH WRITTEN AUTHORIZATION OF THE DEPARTMENT, (C) FOR DISCLOSURE TO A PROPERLY IDENTIFIED PERSON FOR THE PURPOSE OF AN AUDIT RELATED TO THE RESEARCH PROJECT, IF INFORMATION THAT WOULD ENABLE RESEARCH SUBJECTS TO BE IDENTIFIED IS REMOVED OR DESTROYED AT THE EARLIEST OPPORTUNITY CONSISTENT WITH THE PURPOSE OF THE AUDIT, OR (D) WHEN REQUIRED BY LAW;

2.DISCLOSURE MAY BE MADE TO A CONGRESSIONAL OFICE FROM THE RECORD OF AN INDIVIDUAL IN RESPONSE TO A WRITTEN INQUIRY FROM THE CONGRESSIONAL OFFICE MADE AT THE REQUEST OF THAT INDIVIDUAL.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: RECORDS ARE MAINTAINED ON INTERVIEW FORMS, AUDIOTAPES, KEYPUNCH CARDS, MAGNETIC TAPES, AND DISKS.

Retrievability: RESEARCH RECORDS AND LOCATIONAL INFORMATION FOR FOLLOWUP ARE MAINTAINED IN NUMERICAL ORDER BY ASSIGNED CLIENT NUMBER. A LIST IS ALSO MAINTAINED BY NAME AND ASSIGNED CLIENT NUMBER FOR CROSS REFERENCE.

Safeguards: AN AUTHORIZATION UNDER SECTION 303(a) OF THE PUBLIC HEALTH SERVICE ACT AS AMENDED (42 U.S.C. 242a (a), IMPLEMENTED BY CONFIDENTIALITY REGULATIONS (42 CFR PART 2a), HAS BEEN ISSUED TO THE CONTRACTOR TO ASSURE THAT THE CONTRACTOR MAY NOT BE COMPELLED IN ANY LEGAL PROCEEDING TO IDENTIFY THE RESEARCH SUBJECTS. THE CONFIDENTIAL RECORDS MAINTAINED ARE ALSO SUBJECT TO THE PROTECTIVE RESTRICTIONS OF THE CONFIDENTIALITY PROVISION OF THE DRUG ABUSE OFFICE AND TREATMENT ACT AS AMENDED (21 U.S.C. 1175 IMPLEMENTED BY 42 CFR PART 2), COVERING DRUG ABUSE PATIENT RECORDS.

PROJECT DOCUMENTATION, INCLUDING CROSS REFERENCE LIST, COMPLETED INTERVIEW FORMS, AUDIOTAPES, AND COMPUTERIZED DATA FILES, IS MAINTAINED UNDER STRICT CONTROLS IN A SECURE ROOM AT THE CONTRACTORS' FACILITIES TO ENSURE DATA INTEGRITY AND CONFIDENTIALITY. THE LIST, INTERVIEW FORMS AND AUDIOTAPES ARE STORED IN A LOCKED AND SECURE WORK SPACE UNTIL DATA IS ENTERED ON MAGNETIC MEDIA AND VERIFIED. THEN, THE FORMS AND CROSS REFERENCE LIST ARE DESTROYED BY BURNING OR SHREDDING, AND AUDIOTAPES ARE ERASED. AFTER STUDY SOURCE DOCUMENTS ARE DISPOSED OF, NO CONNECTION CAN BE MADE BETWEEN COMPUTER FILE DATA AND THE INDIVIDUAL. MAGNETIC TAPES AND DISCS ARE KEPT IN A VAULT AREA. DURING ALL STAGES OF PROCESSING AND STORAGE, SENIOR PROJECT PERSONNEL CONTROL ACCESS TO AND REMOVAL AND REPLACEMENT OF ALL DOCUMENTS FROM SPECIFIED WORKING AND STORAGE AREAS. ACCESS IS PERMITTED ONLY UPON THE WRITTEN AUTHORITY OF THE PRINCIPAL INVESTIGATOR OR CO-PRINCIAL INVESTIGATORS. THE CONTRACTOR HAS DEVELOPED AN EXTENSIVE COMPUTER FACILITIES SERCURITY SYSTEM WHICH IS USED BY PROGRAMMERS TO PROTECT COMPUTER ACCOUNT CODES AND DATA FROM ACCESS BY UNAUTHORIZED USERS.

THE SAFEGUARDS DESCRIBED IN THE PRECEDING PARAGRAPH ARE IN ACCORDANCE WITH HHS GENERAL ADMINISTRATION MANUAL, CHAPTER 45–13 AND CHAPTER PHS. hf: 45–13, AND WITH THE HHS SYSTEMS MANUAL, PART 6, "ADP SYSTEMS SECURITY."

Retention and disposal: AFTER ALL DATA COLLECTION AND PROCESSING ARE COMPLETE (WHICH WILL BE NO LATER THAN FOUR YEARS AFTER DATE OF RECORDING), PERSONAL IDENTIFIERS AND SOURCE DOCUMENTS WILL BE DESTROYED.

System manager(s) and address: PROJECT OFFICER, PSYCHOTHERAPY OF OPIATE-DEPENDENT INDIVIDUALS, SERVICES RESEARCH BRANCH, DIVISION OF RESOURCE DEVELOPMENT, NATIONAL INSTITUTE ON DRUG ABUSE, 5600 FISHERS LANE, ROOM 10A-31, ROCKVILLE, MARYLAND 20857.

Notification procedure: TO DETERMINE IF A RECORD EXISTS, WRITE TO THE SYSTEM MANAGER AT THE ADDRESS ABOVE. AN INDIVIDUAL MAY LEARN IF A RECORD EXISTS ABOUT HIMSELF OR HERSELF UPON WRITTEN REQUEST WITH NOTARIZED SIGNATURE. THE REQUEST SHOULD INCLUDE, IF KNOWN: NAME OF THE RESEARCHER, NAME OF THE STUDY, LOCATION OF THE RESEARCH SITE, APPROXIMATE DATE OF DATA COLLECTION, ANY ALIAS USED BY INDIVIDUAL, AND ASSIGNED CLIENT NUMBER.

Record access procedures: SAME AS NOTIFICATION PROCEDURES. REQUESTERS SHOULD ALSO REASONABLY SPECIFY THE RECORD CONTENTS BEING SOUGHT.

AN INDIVIDUAL WHO REQUESTS A NOTIFICATION OF, OR ACCESS TO, A MEDICAL RECORD, SHALL, AT THE TIME THE REQUEST IS MADE, DESIGNATE IN WRITING A RESPONSIBLE REPRESENTATIVE WHO WILL BE WILLING TO REVIEW THE RECORD AND INFORM THE SUBJECT INDIVIDUAL OF ITS CONTENTS AT THE REPRESENTATIVE'S DISCRETION.

Contesting record procedures: CONTACT THE OFFICIAL AT THE ADDRESS SPECIFIED UNDER NOTIFICATION PROCEDURES ABOVE AND REASONABLY IDENTIFY THE RECORD, SPECIFY THE INFORMATION BEING CONTESTED, AND STATE THE CORRECTIVE ACTION SOUGHT.

Record source categories: RESEARCH SUBJECTS, PATIENTS, DRUG TREATMENT PROGRAMS, CLINICAL EVALUATORS, COUNSELORS, PSYCHIATRISTS, PSYCHOTHERAPISTS, FAMILY MEMBERS, RESEARCH ASSISTANTS, PHARMACIES, HOSPITALS.

Systems exempted from certain provisions of the act: NONE.

National Institutes of Health

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09-25-0001

System name: Clinical Research: Patient Records, HHS/NIH/NHLBI

Security classification: None.

System location:

Building 10
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: Patients of the National Heart, Lung and Blood Institute (NHLBI) under study at the National Institutes of Health (NIH).

Categories of records in the system: Medical histories, diagnostic studies, laboratory data, treatment.

Authority for maintenance of the system: 42 USC 241e, 287, 287a

Purpose(s): 1. For use by physicians in evaluation and treatment of patients under study at NIH.

2. To furnish patient data to patients, their families, and with patients' consent, to their private physicians.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases may be reported to state government as required by law.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, card index, laboratory books, computer memory.

Retrievability: Indexed by name or patient number.

Safeguards: 1. Employees who maintain records in this system are instructed to grant regular access only to authorized physicians and their assistants.

2. Records are kept in secure locked metal or wood file cabinets and, in some instances, in locked offices.

3. Access to files are strictly controlled by fiels staff.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Administrative Officer
Division of Intramural Research, NHLBI
Building 10, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Privacy Coordinator, NHLBI
Building 31, Room 5A50, NIH
9000 Rockville Pike
Bethesda, MD 20205

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Referring physicians, hospitals and medical centers, patients and families, results of procedures and tests of NIH patients.

Systems exempted from certain provisions of the act: one.

09-25-0002

System name: Clinical Research: Patient Phonocardiogram Records, HHS/NIH/NHLBI

Security classification: None.

System location:

Building 10, Room 6N258, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Heart surgery patients in the NIH Clinical Center with prostehtic valve dysfunction.

READEX

Categories of records in the system: Medical Records

Authority for maintenance of the system: 42 USC 241

Purpose(s): For research to develop non-invasive diagnostic techniques for detecting prosthetic valve dysfunction.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tapes, in log books, and in file folders.

Retrievability: Records are retrieved by name.

Safeguards: 1. Phonocardiograms are kept in the patient medical records file.

2. Records are available only to physicians and to authorized medical records personnel.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the NIH records control schedule. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Senior Surgeon, Surgery Branch, NHLBI
Building 10, Room 6N256
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Privacy Coordinator, NHLBI
Building 31, Room 5A50, NIH
9000 Rockville Pike
Bethesda, MD 20205

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: patient records.

Systems exempted from certain provisions of the act: None.

09-25-0003

System name: Administration: Authorized Radionuclide Users File, HHS/NIH/ORS.

Security classification: None.

System location:

Building 21, Room 116, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Research Investigators within NIH and outside holding NIH-NRC Board License for radioactive material.

Categories of records in the system: Radioactive material users.

Authority for maintenance of the system: 42 USC 241

Purpose(s): To provide adequate administrative controls to assure compliance with NIH Radiation Safety policy.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Training and experience information transferred to place of new employment.

Personnel exposure data transferred to place of new employment.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file cabinet.

Retrievability: Records are retrieved by name.

Safeguards: (1)Employees who maintain records in this system are instructed to grant regular access only to Staff Health Physicists, staff Physical Science Technicians, and administrative personnel of the branch.

(2) Records are generally stored in locked file cabinets or in cabinets that are in rooms that can be locked during off-duty hours.

(3) Access to files is strictly limited to Radiation Safety Branch personnel staff. Records may be removed from files only at the request of authorized personnel. For computerized records, access is controlled by the use of security codes known only to authorized users.

Retention and disposal: Records are retained in accordance with the NIH records control schedule, items 1300-B-13 through 16. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Health Physics Section, Radiation Safety Branch
Building 21, Room 233
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Individual, previous employers and educational institutions.

Systems exempted from certain provisions of the act: None.

09-25-0004

System name: Administration: Registry of Individuals Exposed to Chemical Carcinogens, HHS/NIH/ORS.

Security classification: None.

System location:

Building 12, Computer Center
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Researchers, laboratory workers, and NIH employees potentially exposed to chemical carcinogens.

Categories of records in the system: Certain chemical carcinogens, work station locations, kinds of facilities.

Authority for maintenance of the system: 5 USC 7902, 29 USC 654

Purpose(s): 1. To serve as a basis for chemical carcinogen health and safety program.

2. To identify potential hazards.

3. To determine needs for educational programs.

4. To comply with OSHA Safety and Health Standards (29 CFR 1910)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on computer tapes.

Retrievability: Records are retrieved by name.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, nurses, and other occupational health professionals. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

(2) Physical Safeguards: Records are stored on computer tapes and in locked desks in offices which are locked during off-duty hours.

(3) Procedural Safeguards: Access to the file is strictly controlled by the systems manager and records may be removed from files only at the request of the system manager or other suathorzed employee. Access to computerized records is controlled by the use of security codes known only to the authorized users.

Retention and disposal: Years at NIH: 20. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Industrial Hygienist, Occupational Safety and Health Branch
Building 13, Room 3K04
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Employee and supervisor.

Systems exempted from certain provisions of the act: None.

09-25-0005

System name: : Administration: Library Circulation and User I.D. File HHS/NIH/OD.

Security classification: None.

System location:

Building 10, Room 1L25B
and
Building 12A, Room 3018
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: NIH employees.

Categories of records in the system: Library records.

Authority for maintenance of the system: 42 USC 241

Purpose(s): Library material control.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on computer tape and disc, and on file cards.

Retrievability: Records are retrieved by name.

Safeguards: Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to Library staff members who need to verify that Library identification cards have been issued to those Library users requesting services such as MEDLINE and other computer online bibliographic searches, translations and interlibrary loans. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

(2) Physical Safeguards: The office housing the cabinets and file drawers for storage of records are locked during all library off-duty hours. During all duty hours offices are attended by employees who maintain the files.

(3) Procedural Safeguards: Access to the file is strictly controlled by employees who maintain the files. Records may be removed from files only at the request of the system manager or other authorized employees. Access to computerized records is coltrolled by the use of security codes known only to authorized users.

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Chief, Reader Service Section
Library Branch, Division of Research Services
Building 10, Room 1L21, NIH
9000 Rockville Pike
Bethesda, MD 20205
and
Librarian, Division of Computer Research and Technology
Building 12A, Room 3018, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Individual, NIH Library ID card data.

Systems exempted from certain provisions of the act: None.

09-25-0007

System name: Administration: NIH Safety Shoes and Safety Glasses Issuance Program. HHS/NIH/ORS.

Security classification: None.

System location:

Building 13, Room 3K04, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: NIH employees who apply for safety shoes or safety glasses.

Categories of records in the system: Explanation of eye impact and foot hazard occupation.

Authority for maintenance of the system: 5 USC 7902

Purpose(s): Records are used for proper distribution of safety glasses and safety shoes and for proof of delivery.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: Access limited to personnel involved in the Safety Glasses and Shoes Program, to supervisors of employees who have requested safety glasses or shoes, and to personnel involved in accounting. Record storage locations are locked when not in use.

Retention and disposal: Years at NIH: Retained until employee terminates hazardous occupation.

System manager(s) and address:

Physical Science Technician
Building 21, Room 108, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Previous employer and education institutions.

Systems exempted from certain provisions of the act: None.

09-25-0008

System name: Administration: Radiation Workers Monitoring, HHS/NIH/ORS.

Security classification: None.

System location:

Building 21, Room 134, NIH
9000 Rockville Pike
Bethesda, MD 20205
and
Building 12, Computer Center
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: NIH workers using radioactive materials or radiation producing equipment.

Categories of records in the system: Radiation exposure incident reports, film badge exposure reports, urine and whole body counting reports.

Authority for maintenance of the system: 5 USC 7902

Purpose(s): 1. To assure legal compliance with requirement of Nuclear Regulatory Commission to maintain internal and external radiation exposure data and any radiation incident follow-up reports.

2. To monitor personnel exposures in order that they be maintained at the lowest levels reasonably achievable.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Transfer radiation exposure history to new employer or to Nuclear Regulatory Commission on their request.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in card file and on computer tapes.

Retrievability: Records are retrieved by name and group number.

Safeguards: Access limited to personnel (system manager and staff).

Retention and disposal: Years at NIH: indefinite.

System manager(s) and address:

Chief, Health Physics Section
Radiation Safety Branch
Building 21, Room 108, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Previous employer and education institutions, laboratory supervisor.

Systems exempted from certain provisions of the act: None.

09-25-0009

System name: Clinical Research: Radiotherapy Patient File, HHS/NIH/ORS.

Security classification: None.

System location:

Building 21, Room 138, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: NIH patients who have received radiotherapy doses.

Categories of records in the system: Radiotherapy patient records including quantity of material given, type of material, workers involved in patient handling and any radiation exposure received by workers.

Authority for maintenance of the system: 5 USC 7902; 42 USC 241

Purpose(s): To provide a legal record (for Nuclear Regulatory Commission and Food and Drug Administration review) of patients receiving therapeutic levels of radioactive materials.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Nuclear Regulatory Commission upon its request.

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file cabinet.

Retrievability: Records are retrieved by patient name.

Safeguards: Access limited to authorized personnel (system manager and staff).

Retention and disposal: Records are kept for six years after the final administration of radiotherapy to a patient. During the six years, records may be stored at a Federal Records Center.

System manager(s) and address:

Chief, Health Physics Section
Radiation Safety Branch
Building 21, Room 135, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Clinical Center, NIH, Radiopharmacy, NIH, individual patient.

Systems exempted from certain provisions of the act: None.

09-25-0010

System name: Research Resources: Registry of Individuals Exposed to Microbial Agents, HHS/NIH/ORS.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Individuals potentially exposed to biohazardous microbial agents.

Categories of records in the system: Microbial agents registry.

Authority for maintenance of the system: 42 USC 241

Purpose(s): 1. To serve as a base for health and safety for organizations involved in day-to-day operation of the program.

2. To identify potential hazards.

3. To determine needs for educational programs.

4. To identify scientists and laboratories with expertise in the use of particular biological agents.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on magnetic tape.

Retrievability: Records are retrieved by name and Social Security Number for verification where the latter is voluntarily provided.

Safeguards: (1) Authorized Users: Employees authorized to use the records include safety staff in the Occupational Safety and Health Branch and the Chief, Occupational Medical Services who have been informed of the need for maintaining confidentiality of the records.

(2) Physical Safeguards: Office records are kept in closed cabinets or desks in offices which are locked during off-duty hours.

(3) Procedural Safeguards: Access to the file is strictly controlled by the systems manager and records may be removed from files only at the request of the system manager or other authorized employee. Access to computerized records is controlled by the use of security codes known only to the authorized users.

Retention and disposal: indefinite.

System manager(s) and address:

Chief, Safety Support Section
Building 13, Room 3K04, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Supervisor and employee.

Systems exempted from certain provisions of the act: None.

09-25-0011

System name: Clinical Research: Blood Donor Records, HHS/NIH/CC.

Security classification: None.

System location:
Building 10A, Room 1E33, NIH
9000 Rockville Pike
Bethesda, MD 20205
and
Washington National Records Center
4205 Suitland Road
Suitland, Maryland

Categories of individuals covered by the system: Donors of blood and blood donations, blood types, phenotype. Laboratory results on each unit-record are hepatitis B antigen testing, serologic reactions on all blood samples, donations of blood or blood components.

Authority for maintenance of the system: 42 USC 263

Purpose(s): 1. To provide a means for contacting blood donors for patient care and research.

2. To provide a medical history of all donors for the transfusion records of each blood unit.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases may be reported to state government as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in a computer file, on donor cards, and on microfilm.

Retrievability: Records are retrieved by name and Social Security Number for verification where the latter is voluntarily provided.

Safeguards: (1) Authorized Users: Access is granted only to the blood bank physicians, the Blood Bank's chief nurse and chief technologist, secretary to the Chief, Blood Bank, and the computer operator.

(2) Physical Safeguards: Record facilities are locked when system personnel are not present.

(3) Procedural Safeguards: Access to manual files is limited to authorized users. Access to computerized records is controlled by the use of security codes known only to the authorized users.

Retention and disposal: Donor cards are retained for 18 months and then microfilmed. Microfilm is retained indefinitely in accordance with the NIH Records Control Schedule, item 3000-E-50.

System manager(s) and address:
Chief, Blood Bank, CC
Building 10A, Room 1E33, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: To obtain access to a record, contact the system manager at the address specified above. Requesters should provide the same information as is required under the notification procedures above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Data are collected from the individual.

Systems exempted from certain provisions of the act: None.

09-25-0012

System name: Clinical Research: Candidate Normal Volunteer Records, HHS/NIH/CC.

Security classification: None.

System location:
Building 10, Room 7D50, NIH
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: Normally healthy individuals who volunteer to participate in NIH studies.

Categories of records in the system: Program application, health questionnaire and record of participation.

Authority for maintenance of the system: 42 USC 241, 263

Purpose(s): 1. To determine suitability for participation in the normal volunteer program.

2. To document remuneration of normal volunteers.

3. To provide a record of participation to be used (a) in writing letters of recommendation/reference for the volunteer, and (b) preparing reports on the normal volunteer program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases may be reported to state government as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Program applications and health questionnaires are stored in file folders. Records of participation are stored on index cards.

Retrievability: Records are retrieved by name.

Safeguards: (1) Authorized Users: Access is granted only to the staff in the Office of Normal Volunteers and to NIH physicians who have requested the recruitment of volunteers for their clinical research projects.

(2) Physical Safeguards: Record facilities are locked when system personnel are not present.

(3) Procedural Safeguards: Access to the files is strictly controlled by the files staff. Records may be removed from the file only at the request of the system manager or other authorized employees.

Retention and disposal: Program applications and health questionnaires are kept for 18 months after an individual leaves NIH or, in the case of applications which are eligible but not accepted, until the application is one year old.

System manager(s) and address:
Chief, Normal Volunteer Program
Building 10, Room 7D50 NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity

by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: To obtain access to a record, contact:

Director, Clinical Center
Building 10, Room 1N212, NIH
9000 Rockville Pike
Bethesda, MD 20205

and provide the information described under Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Volunteer, sponsoring contractor.

Systems exempted from certain provisions of the act: None.

09-25-0013

System name: Clinical Research: Preadmission Medical Records. HHS/NIH/CC.

Security classification: None.

System location:

Building 31, Room 2B58, NIH
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: Potential patients.

Categories of records in the system: Medical history and letters from individuals and referring physicians.

Authority for maintenance of the system: 42 USC 241, 248.

Purpose(s): To determine appropriateness of individual for participation in clinical research projects.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in folders.

Retrievability: Records are retrieved by name.

Safeguards: (1) Authorized Users: The patient referral staff maintains the records in this system and grants regular access only to physicians and dentists participating in patient care at the Clinical Center, NIH.

(2) Physical Safeguards: All record facilities are locked when system personnel are not present.

(3) Procedural Safeguards: Access to the file is strictly controlled by the files staff. Records may be removed from the file only at the request of the system manager or other authorized employees.

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Chief, Office of Clinical Reports & Inquiries
Building 31, Room 2B58 NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: To obtain access to a record, contact:

Director, Clinical Center
Building 10, Room 1N212, NIH
9000 Rockville Pike
Bethesda, MD 20205

and provide the information described under Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Referring physicians, subject individuals, families or members of Congress.

Systems exempted from certain provisions of the act: None.

09-25-0014

System name: Clinical Research: Student Records. HHS/NIH/CC.

Security classification: None.

System location:

Building 31, Room 4B04
and
Building 10, Room 1N-206
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Potential and accepted associates, medical students, and other students in NIH training programs.

Categories of records in the system: Application form, transcripts, references, evaluations.

Authority for maintenance of the system: 42 USC 241.

Purpose(s): 1. To identify candidates for clinical associate, clinical elective, and other training positions.

2. To maintain a permanent record of those individuals who have received clinical training at the NIH for historical and reference uses.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be used to respond to congressional inquiries for constituents concerning admission to the program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name and year.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to health care personnel of the NIH who are involved in the evaluation and selection of training candidates.

(2) Physical Safeguards: Records are maintained in locked cabinets with access limited to authorized personnel (systems manager and staff).

(3) Procedural Safeguards: Access to the file is strictly controlled by the files staff. Records may be removed from the file only at the request of the system manager or other authorized employees.

Retention and disposal: Years at NIH: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the NIH records control schedule. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Associate Director, CC
Building 10, Room 1N206 NIH

9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: To obtain access to a record, contact the system manager at the above address and provide the information described under Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the system manager the address specified above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Applicants, universities and teachers.

Systems exempted from certain provisions of the act: None.

09-25-0015

System name: Clinical Research: Collaborative Clinical Epilepsy Research. HHS/NIH/NINCDS.

Security classification: None.

System location: Building 12, NIH

9000 Rockville Pike.
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients participating in clinical epilepsy research sponsored by the National Institute of Neurological and Communicative Disorders and Stroke (NINCDS).

Categories of records in the system: Clinical data.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Clinical research on epilepsy, specifically neurophysiological studies of patients and new drug studies designed to improve treatment of epilepsy.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, and on magnetic tape and discs.

Retrievability: Records are retrieved by identifying number.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access to HHS researchers or the staff of the Epilepsy Branch. No other use is permitted without specific permission of the System Manager.

(2) Physical Safeguards: Records are kept in a location which is locked during non-duty hours.

(3) Procedural Safeguards: Records are used in the system location only and are returned to file cabinets at the end of each working day. Location is attended at all times during working hours. Personnel having access to system have received Privacy Act training.

Retention and disposal: Years at NIH: 10. Years at Federal Records Center: 15.

System manager(s) and address:

Chief, Epilepsy Branch, NINCDS
Federal Building, Room 114
7550 Wisconsin Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Clinical treatment records from physicians, nurses and other sources of care.

Systems exempted from certain provisions of the act: None.

09-25-0016

System name: Clinical Research: Collaborative Perinatal Project HHS/NIH/NINCDS.

Security classification: None.

System location: Federal Building, NIH

7550 Wisconsin Ave.
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Women in the perinatal study of NIH during their pregnancies, their children, husbands, fathers of children and other family members.

Categories of records in the system: Medical histories and examinations.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Biomedical and behavioral research by HHS scientists to discover leads to the developmental disorders of childhood by relating events of pregnancy, labor and delivery, infancy and early childhood to subsequent development of the child.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record may be disclosed for a research purpose, when the Department: (A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained; (B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable

form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;(C)has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;(D)has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Certain infectious diseases are reported to state government as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, on punch cards and magnetic tape, computer printouts, and on microfilm.

Retrievability: Records are retrieved by identifying number assigned to the mother.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access to HHS researchers and data processing support staff only upon receiving an approved written request from the System Manager which specifies the data to be received and the intended use of the data. A list of authorized users is maintained.

(2) Physical Safeguards: Records are in an area with no other use which is locked when system not in use.

(3) Procedural Safeguards: Personnel having access are trained in Privacy requirements. Records of access to the system are maintained. Records are used in the system area or other designated work area.

Retention and disposal: Years at NIH: indefinite. Some records are sent to the Federal Records Center and held for 3 years.

System manager(s) and address:

Chief, Developmental Neurology Branch
National Institute of Neurological and Communicative
Disorders and Stroke (NINCDS)
Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Mother, child, father, biomedical examiners, hospital & clinic records, schools.

Systems exempted from certain provisions of the act: None.

09-25-0017

System name: Clinical Research: Epidemiology Studies Files. HHS/NIH/NINCDS.

Security classification: None.

System location:

Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20205

Categories of individuals covered by the system: (1) Persons with Multiple Sclerosis in the Comanche County study of NIH.

(2) Persons with Polymyositis in the NIH study.

(3) Persons with Creutzfeld-Jacob Disease in the NIH study.

(4) Guam Construction Workers: Admissions to hospitals with diagnosis of stroke 1972-3.

(5) Persons with Multiple Sclerosis who have a twin and who are participants in the NIH study.

(6) Person with Parkinson's Disease in NIH-related studies.

(7) Registered nurses in the NIH study who were exposed to infectious diseases in the course of patient treatment during their pregnancies.

(8) Persons with ulcers who participated in the Veterans' Administration study.

Categories of records in the system: Medical findings and outcome.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Epidemiological research by HHS scientists and their authorized collaborators on a number of disease states: Polymyositis, Creutzfeld-Jacob Disease, Stroke, Multiple Sclerosis, Parkinson's Disease, nurses exposed to infectious diseases during pregnancy, and ulcers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: Records are stored in the Federal Records Center with access limited to specific cases authorized by the system manager.

Retention and disposal: Records are retained and subsequently disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below. Inactive records are stored in a Federal Records Center

System manager(s) and address:

Head, Section of Epidemiology
National Institute of Neurological and Communicative Disorders and Stroke (NINCDS)
Federal Building, Room 7C10A
7550 Wisconsin Ave
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Hospital and physicians' records.

Systems exempted from certain provisions of the act: None.

09-25-0019

System name: Clinical Research: Genetic Counseling. HHS/NIH/NINCDS.

Security classification: None.

System location:

Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20205

ite to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Individuals referred to NIH by their physicians for advice about genetic problems in their families.

Categories of records in the system: Family histories, medical histories, laboratory findings, physicians reports.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Research by HHS scientists and approved collaborators to assess the effectiveness and value of gentic counseling for individuals referred by physicians for advice about genetic problems in their families.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to state government as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS researchers or their authorized collaborators.

(2) Physical Safeguards: Records are locked in a cabinet during non-working hours in a location also locked during non-working hours.

(3) Procedural Safeguards: Persons having access to this system are trained in Privacy Act requirements. Location is attended at all times during working hours.

Retention and disposal: Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

System manager(s) and address:

Research Geneticist, Developmental Neurology Branch
Federal Building, Room 7C10A
7550 Wisconsin Ave
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the reasons for the correction, and the corrective action sought.

Record source categories: Referring physicians.

Systems exempted from certain provisions of the act: None.

09-25-0020

System name: Clinical Research: Genetics of Neurological Disorders. HHS/NIH/NINCDS.

Security classification: None.

System location:

Federal Building, NIH
7550 Wisconsin Ave.

Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Individuals with hereditary nervous system disorders and their unaffected relatives in the NIH study.

Categories of records in the system: Family histories, medical histories, laboratory findings.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Research by HHS scientists on the genetics of diseases and disorders of the nervous system including inheritance, rates of gene mutation, population characteristics, detection of the heterozygous state, and defects in metabolism.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on index cards.

Retrievability: Records are retrieved by name and ID number.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS researchers or their authorized collaborators.

(2) Physical Safeguards: Records are locked in a cabinet during non-working hours in a location also locked during non-working hours.

(3) Procedural Safeguards: Persons having access to this system are trained in Privacy Act requirements. Location is attended at all times during working hours.

Retention and disposal: Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

System manager(s) and address:

Research Geneticist
Developmental Neurology Branch
Federal Building, Room 8C16A
7550 Wisconsin Ave
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the reasons for the correction, and the corrective action sought.

Record source categories: Patients, relatives, physicians, hospital records.

Systems exempted from certain provisions of the act: None.

09-25-0021

System name: Clinical Research: Guam Patient/Control Registry. HHS/NIH/NINCDS.

Security classification: None.

System location:

Building 36, Room 5D03, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Research patients of NIH on Guam.

Categories of records in the system: Medical and demographic data.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Biomedical research on patients by HHS scientists who study selected diseases and conditions found on the island of Guam in the Pacific.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to Territorial authorities as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, on punch cards, magnetic tape, index cards, and print-out sheets.

Retrievability: Records are retrieved by name and ID number.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS researchers or their authorized collaborators.

(2) Physical Safeguards: Location is locked during non-working hours and records are returned to location at end of working day.

(3) Procedural Safeguards: Persons having access to records are informed of the Privacy Act requirements and location is attended at all times during the working day.

Retention and disposal: Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

System manager(s) and address:

Director, Intramural Research
National Institute of Neurological and Communicative Disorders and Stroke (NINCDS)
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the reasons for the correction, and the corrective action sought.

Record source categories: Individuals and their families.

Systems exempted from certain provisions of the act: None.

09-25-0024

System name: Clinical Research: Medical Neurology Branch Patients' Medical Histories. HHS/NIH/NINCDS.

Security classification: None.

System location:

Building 10, Room 10-18, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients in the Medical Neurology Branch, National Institutes of Neurological and Communicative Disorders and Stroke (NINCDS).

Categories of records in the system: Medical history.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Clinical research by HHS scientists and their authorized collaborators on the neuromuscular diseases, e.g., muscular dystrophy and myasthenia gravis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to state government as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name, ID number and by diagnosis.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to the Chief, Medical Neurology Branch, or designated collaborators and assistants.

(2) Physical Safeguards: Records are locked in a cabinet during non-working hours in a location also locked during non-working hours.

(3) Procedural Safeguards: Personnel having access to system are informed of Privacy Act requirements. Records are returned to files at end of each working day.

Retention and disposal: Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

System manager(s) and address:

Chief, Medical Neurology Branch NINCDS
Building 10, Room 10D-18, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the reasons for the correction, and the corrective action sought.

Record source categories: Referring physicians.

Systems exempted from certain provisions of the act: None.

09-25-0026

System name: Clinical Research: Nervous System Studies. HHS/NIH/NINCDS.

Security classification: None.

System location:

Building 36, Room 5B20, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Research patients in NIH-related studies having nervous system disorders.

Categories of records in the system: Medical and demographic data.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Clinical research by HHS scientists on patients with special diseases of the nervous system, with particular emphasis on

those diseases known or thought to be caused by slow or latent viruses.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to state government as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, on magnetic tape, and on computer print-out sheets.

Retrievability: Records are retrieved by name, disease and attending physician name.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to scientists on the staff of the Central Nervous System Studies Laboratory and their assistants.

(2) Physical Safeguards: Records are kept in a locked location.
(3) Procedural Safeguards: Personnel having access to system are informed of Privacy Act requirements.

Retention and disposal: Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

System manager(s) and address:

Chief, Central Nervous System Studies Lab.
Building 31, Room 5B20, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:
Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: From attending physicians.

Systems exempted from certain provisions of the act: None.

09-25-0028

System name: Clinical Research: Patient Medical Histories. HHS/NIH/NINCDS.

Security classification: None.

System location:

Building 10 & Building 31, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Past and present patients of the National Institute of Neurological and Communicative Disorders and Stroke (NINCDS), and individuals being referred for admission to the NIH Clinical Center.

Categories of records in the system: Medical histories and diagnoses.

Authority for maintenance of the system: 42 USC 241, 289a, 289c

Purpose(s): Clinical research on various diseases of the nervous system by HHS scientists and their authorized collaborators, with the specific aim of improving patient care and treatment by evaluating therapeutic procedures.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to state government as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS researchers and their authorized collaborators.

(2) Physical Safeguards: Records are kept locked in a file cabinet when not in use and in a location which is locked during nonworking hours.

(3) Procedural Safeguards: Records are returned to the files at the close of each working day and are used only in the system location or in a designated work area.

Retention and disposal: Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

System manager(s) and address:

Director of Intramural Research, NINCDS
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:
Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike

Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought and the reasons for the correction.

Record source categories: Referring and attending physicians, hospital records.

Systems exempted from certain provisions of the act: None.

09-25-0031

System name: Clinical Research: Serological and Virus Data in Studies Related to the Central Nervous System. HHS/NIH/NINCDS.

Security classification: None.

System location:

Building 36, Room 5D04, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients with possible perinatal, acute or chronic diseases and normal volunteers in NIH-related studies pertaining to the central nervous system.

Categories of records in the system: Laboratory findings for viruses.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Purpose(s): Clinical research by HHS scientists and their authorized collaborators and research on blood serum, specifically to discover the role of infections (particularly those caused by a virus) in diseases of the central nervous system and also to study the role of vaccines in these diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to State Government as required by law.

Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on papers and in file folders.

Retrievability: Records are retrieved by name and number.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS scientists and their assistants and authorized collaborators.

(2) Physical Safeguards: Records are kept in cabinets which are locked at all times that system is not in use, in a location which is also locked when system is not in use

(3) Procedural Safeguards: Personnel having access to system have been trained in Privacy Act requirements. Records are used in a designated work area and the system location is attended at all times during working hours.

Retention and disposal: Years at NIH: 15.

Years at Federal Records Center: 20.

System manager(s) and address:

Chief, Infectious Diseases Branch, Intramural Research Program
Building 36, Room 5D04, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Head, Admin. Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Hospital records; volunteers and laboratory data.

Systems exempted from certain provisions of the act: None.

09-25-0033

System name: International Activities: Fellowships Awarded by Foreign Organizations. HHS/NIH/FIC.

Security classification: None.

System location:

Building 38A, Room 615, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: U.S. citizens qualified in health-related sciences submitting applications through NIH for fellowships for study abroad.

Categories of records in the system: Applications and associated records and reports.

Authority for maintenance of the system: 42 USC 2421

Purpose(s): (1) To assist U.S. citizens in obtaining fellowships from foreign organizations, Fogarty International Center (FIC) program staff collects applications and submits them to the Division of Research Grants for technical review. Afterwards, the applications are sent to the awarding organization in Switzerland, Sweden or France. These foreign countries make the selection for award.

(2) For program review and evaluation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: After review by the operating agency review panel the applications and all supporting documents are forwarded to the foreign organizations or agencies making awards.

In addition, such application may be made available to authorized employees and agents of the US including the General Accounting Office, for purposes of investigations, inspections and audits, and, in appropriate cases, to the Department of Justice for prosecution under civil and criminal laws.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name and fellowship number.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 1. Number of years held at Federal Records Center before disposal: 5.

System manager(s) and address:

Chief, International Research Awards Branch, FIC
Building 38A, Room 615, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Requests for notification of or access to records should be addressed to the system manager, as listed above. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Applicants and persons supplying references.

Systems exempted from certain provisions of the act: None.

09-25-0034

System name: International Activities: Scholars Program. HHS/NIH/FIC.

Security classification: None.

System location:

Building 16A, Room 102, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of any Federal Records Center where records are stored.

Categories of individuals covered by the system: Distinguished U.S. science leaders and scholars invited to accept NIH scholarships.

Categories of records in the system: Employment and education histories; references.

Authority for maintenance of the system: 42 USC 2421.

Purpose(s): This program was established to facilitate the exchange of ideas among distinguished science leaders and scholars who spend from 3 to 12 months in residence at NIH. Biographical information and references are assembled by Fogarty International Center (FIC) program staff for use by the operating agency review committee, and invitations are extended by the Director, FIC.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: made available to authorized employees and agents of the US, including the General Accounting Office, for purposes of investigations, inspections and audits, and in appropriate cases, to the Department of Justice for prosecution under civil and criminal laws.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on magnetic tapes.

Retrievability: Records are retrieved by name.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to FIC program staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

(2) Physical Safeguards: The records are maintained in locked file cabinets, and offices are locked during off-duty hours.

(3) Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employees.

Retention and disposal: Years at NIH: 1. Number of years held at Federal Records Center before disposal: 5.

System manager(s) and address:

Chief, Scholars Program, FIC
Building 16A, Room 102, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Requests for notification of or access to records should be addressed to the system manager, as listed above. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Information obtained from invitees, reference sources, and persons supplying recommendations.

Systems exempted from certain provisions of the act: None.

09-25-0035

System name: International Activities: International Health Exchange Programs Participants, HEW/NIH/FIC.

Security classification: None.

System location:

Building 38-A, Room 612, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: US citizens applying for participation in international health exchange programs through NIH.

Categories of records in the system: Applications and associated records and reports.

Authority for maintenance of the system: 42 USC 2421.

Purpose(s): US citizens with backgrounds relating to the health sciences submit applications for study in countries with which the US has health exchange agreements. Fogarty International Center (FIC) prepares the applications for review by an operating agency review committee which makes the awards. FIC applies to foreign ministries for their approval. Information is transmitted to the PHS Office of International Health. Reports by returnees disseminated as appropriate.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to a congression-

al office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process.

Information is furnished to pertinent staff of the relevant foreign ministry for acceptance purposes.

Applications are made available to authorized employees and agents of the United States, including the General Accounting Office, for the purpose of inspections and audits, and, in appropriate cases, to the Department of Justice for investigation under civil and criminal laws.

In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to FIC program staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in locked file cabinets. Offices are locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee.

Retention and disposal: Years at NIH: 1. At Federal Records Center: 5.

System manager(s) and address:

Coordinator, US-Foreign Health Exchange Program
Building 38-A, Room 612, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to system manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information is obtained from applicants and individuals who supply references.

Systems exempted from certain provisions of the act: None.

09-25-0036

System name: Grants: IMPAC (Grant/Contract Information), HHS/NIH/DRG.

Security classification: None.

System location:

Westwood Building,
5333 Westbard Avenue
Bethesda, MD 20205
and
Building 12, NIH Computer Center
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: Applicant and Principal Investigators; Program Directors; NRSA Trainees and Fellows; Research Career Awardees; and Public Advisory Committee Members.

Categories of records in the system: Applications, awards, associated records and trainee appointments.

Authority for maintenance of the system: 42 USC 241c, 58 Stat. 691c & d repealed.

Purpose(s): grant programs of the Public Health Service. Services are provided in the areas of grant application assignment and referral, initial review, council review, award processing and grant accounting. The data base is used to provide complete, accurate, and up-to-date reports to all levels of management.

(2)To maintain communication with former fellows and trainees who have incurred a payback obligation through the National Research Service Award Program.

(3)To maintain current and historical information pertaining to the establishment of chartered public advisory committees of the National Institutes of Health and the appointment of their members.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

To the cognizant audit agency for auditing.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process.

To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision in the matter.

A record may be disclosed for a research purpose, when the Department:(A)has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;(B)has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;(C)has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earlies time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;(D)has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

The Department contemplates that it may contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to maintain Privacy Act safeguards with respect to such records.

To the grantee institution in connection with performance or administration under the conditions of the award.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on discs and magnetic tapes.

Retrievability: Records are retrieved by name, application, grant or contract ID number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to PHS extramural staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Physical access to the DRG Remote Job Entry work area is restricted. Offices are locked during off-duty hours.

3. Procedural Safeguards: Access to source data files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee. Access to computer files is controlled by the use of registered accounts, registered initials, keywords, etc. The computer system maintains an audit record of all attempted and successful requests for access.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 4000-A-2, which allows IMPAC records to be kept as long as there is an administrative need for the information.

System manager(s) and address:

Chief, Statistics and Analysis Branch
Division of Research Grants
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists write to:

Privacy Act Coordinator
Division of Research Grants
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individual, individual's educational institution and references.

Systems exempted from certain provisions of the act: None.

09-25-0037

System name: Clinical Research: Gerontology Research Center Longitudinal Aging Study, HHS/NIH/NIA.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Voluntary participants in the Gerontology Research Center (GRC) Longitudinal Aging Study.

Categories of records in the system: Medical histories, psychological and physical test results.

Authority for maintenance of the system: 42 USC 241, 289k-2, k-4.

Purpose(s): 2. Epidemiological research on the human aging process.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on computer files.

Retrievability: Records are retrieved by ID number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to the clinical, research and support staff of the GRC. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Hard copy files are kept in locked file cabinets.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Clincial Physiology Branch, GRC
Baltimore City Hospitals
Baltimore, MD 21224

Notification procedure: Write to System Manager to determine if a record exists. The requestor must also verify his or her identity by providing either a notarization of the request or a written certification that the requestor is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual, who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals, research staff, test results.

Systems exempted from certain provisions of the act: None.

09-25-0038

System name: Clinical Research: Patient Data, HHS/NIH/NIADDK.

Security classification: None.

System location:

Building 10, Room 9N222, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients of the National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases (NIADDK).

Categories of records in the system: Patient history, demographic data, miscellaneous correspondence with patients.

Authority for maintenance of the system: 42 USC 241, 281a, 289c.

Purpose(s): (1) Care and treatment of patients with arthiritic, metabolic or digestive diseases;

(2) Experimentation and investigation on the etiology, treatment and prevention of arthritic, metabolic or digestive diseases;

(3) Administration of these clinical and research programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on magnetic tape.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the NIADDK whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Clinical Investigations, NIADDK
Building 10, Room 9N222, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists write to:

Administrative Officer
Building 31, Room 9A46, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Institute clincial records.

Systems exempted from certain provisions of the act: None.

09-25-0039

System name: Clinical Research: Diabetes Mellitus Research Study of Southwestern American Indians, HHS/NIH/NIADDK.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Southwestern American Indians and Caucasian spouses of some who were participants in the NIH Diabetes Mellitus Research Study.

Categories of records in the system: Name, address, demographic data, patient history and control numbers.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Purpose(s): (1) To gain information on high prevalence of diabetes, arthritis, gall bladder and related diseases among Southwestern American Indians;

(2) For statistical analysis to investigate frequency and distribution of the above disorders;

(3) Data is shared with the Indian Health Service which has primary care responsibility for American Indians.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tapes.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to scientists and statistical staff of the Epidemiology Branch, National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases (NIADDK).

Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Input data for computer files is coded immediately after collection to avoid individual identification. Records are kept in a limited access area equipped with a monitored burglar alarm system.

3. Procedural Safeguards: Access is strictly controlled through security codes known only to authorized users. Access codes are changed following departure of any authorized user.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Phoenix Clinical Research Section
Phoenix Area Indian Hospital, Room 541
Phoenix, Arizona 85016

Notification procedure: To determine if a record exists write to:

Administrative Officer
Building 31, Room 9A46, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Institute clinical records.

Systems exempted from certain provisions of the act: None.

09-25-0040

System name: Clinical Research: Southwestern American Indian Patient Data, HHS/NIH/NIADDK.

Security classification: None.

System location:

Phoenix Area Indian Hospital, Room 541
Phoenix, Arizona 85016

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients of the National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases (NIADDK) being treated at the Phoenix Area Indian Hospital. 6

Medical history, treatment schedules, diagnostic records.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Purpose(s): (1) Used by clinicians and support staff of the Phoenix Clinical Research Section for treatment of NIADDK patients, and for research related to such treatment.

(2) Records are forwarded to the Indian Health Service which maintains records after patient discharge in case follow-up or later treatment is necessary.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name and patient number.

Safeguards: Records are maintained in secured areas and containers, with personnel screening to prevent unauthorized access. Charge-out records are maintained on records charged out from the files.

Retention and disposal: Records are retained and destroyed according to the same standards that apply to other medical records of the Indian Health Service.

System manager(s) and address:

Chief, Phoenix Clinical Research Section
Phoenix Area Indian Hospital, Room 541
4212 North 16th Street
Phoenix, Arizona 85016

Notification procedure: To determine if a record exists write to:

Administrative Officer, NIADDK
Building 31, Room 9A46, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Clinicians of the Phoenix Clinical Research Section.

Systems exempted from certain provisions of the act: None.

09-25-0041

System name: Research Resources: Scientists Requesting Hormone Distribution, HHS/NIH/NIADDK.

Security classification: None.

System location:

Westwood Building, Room 605, NIH
5333 Westbard Avenue
Bethesda, MD 20205

Categories of individuals covered by the system: Scientists requesting hormones from the National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases (NIADDK).

Categories of records in the system: Justification for request for hormones, including requester's competence.

Authority for maintenance of the system: 42 USC 241, 263, 289a, 289c.

Purpose(s): (1) For review of applications requesting hormones and antibodies for research purposes, prior to awarding these substances.

(2) To determine if the requester is qualified to receive these materials.

(3) To determine if requests for human hormones for clinical research follow acceptable protocols. In this connection, records may be disclosed to the Food and Drug Administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Contractors for distribution of various hormones to requestors.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to staff working for the contractor who need the records for hormone distribution, to NIH staff who supervise the Hormone Distribution Program, and, as approved by the system manager, to scientists and physicians who may have need of the information for research.

2. Physical Safeguards: Records are kept in cabinets in offices which are locked during off-duty hours and which have alarms.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Files may be obtained only at the request of the system manager or other authorized employee.

Retention and disposal: Years at NIH: 3.

System manager(s) and address:

Hormone Distribution Officer
Westwood Building, Room 605, NIH
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists write to:

Administrative Officer, NIADDK
Building 31, Room 9A46, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Data is obtained from the individual.

Systems exempted from certain provisions of the act: None.

09-25-0042

System name: Clinical Research: National Institute of Dental Research Patient Records, HHS/NIH/NIDR.

Security classification: None.

System location:

Building 10, Room 1B20, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients and other participants in current and past research projects of the National Institute of Dental Research (NIDR).

Categories of records in the system: Medical and dental histories, dental pathologies and therapies.

Authority for maintenance of the system: 42 USC 241, 288a.

Purpose(s): (1) To record the diagnosis and treatment of patients with diseases of the mouth, tongue, teeth and surrounding tissues;

(2) To record the normal condition of the mouth, tongue, teeth and surrounding tissues of individuals referred to the dental clinic;

(3) To provide clinical data for research into the etiology, treatment and prevention of oral diseases;

(4) For review and planning of the NIDR clinical program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the clinical and research purposes for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name and hospital ID number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to dentists, physicians, dental hygienists, dental assistants and other health care personnel involved in the care and treatment of patients in the NIDR dental clinic, and to referring professionals. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are stored in a cabinet which is locked at all times when not in use.

3. Procedural Safeguards: Access is controlled by clerical staff of the Dental Clinic during clinic hours and by the Officer of the Day when the clinic is closed.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Clinical Investigations and Patient Care Branch, NIDR
Building 10, Room 2B01, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists contact:

NIDR Privacy Act Coordinator
Westwood Building , Room 551
5333 Westbard Avenue

Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individual, parents or guardians.

Systems exempted from certain provisions of the act: None.

09-25-0043

System name: Clinical Research: Pharyngeal Development Patients, HHS/NIH/NIDR.

Security classification: None.

System location:

Building 10, Room 5N256, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients referred to the National Institute of Dental Research (NIDR) who have abnormalities of the mouth and pharynx.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 42 USC 241, 288a.

Purpose(s): (1) To record the medical/dental histories of patients with diseases and/or impairments of the mouth and pharynx;

(2) For research into the causes and treatment of patients with diseases and/or impairments of the mouth and pharynx;

(3) For review and planning of the Oral and Pharyngeal Development Section program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the clinical and research purposes for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name and diagnosis.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to Oral and Pharyngeal Development Section staff, to scientist colleagues by invitation of the principal investigator and to referring professionals. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are stored in 'red sealed' rooms which are locked at all times when not in use.

3. Procedural Safeguards: Access is controlled by Oral and Pharyngeal Development Section staff.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Oral and Pharyngeal Development Section , NIDR
Building 31, Room 3B10, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists contact:

NIDR Privacy Act Coordinator
Westwood Building , Room 551
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individual patient or family members, referring clinician or health agency.

Systems exempted from certain provisions of the act: None.

09-25-0044

System name: Clinical Research: Sensory Testing Research Program, HHS/NIH/NIDR.

Security classification: None.

System location:

Building 31, Room 3B08, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Infants, children and adults participating in the Sensory Testing Research Program of the National Institute of Dental Research (NIDR).

Categories of records in the system: Test results, extracts from medical records.

Authority for maintenance of the system: 42 USC 241, 288a.

Purpose(s): (1) To record the medical/dental histories of individuals participating in the Sensory Testing Research Program;

(2) To record the results of taste tests of individuals participating in the Sensory Testing Research Program;

(3) For research on the sensitivity of the tongue to touch and to taste stimulation;

(4) For review and planning of the Oral and Pharyngeal Development Section program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the clinical and research purposes for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and data books.

Retrievability: Records are retrieved by name, date of observation and age of subject.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to Oral and Pharyngeal Development Section staff, to scientist colleagues by invitation of the principal investigator and to referring professionals. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are stored in 'red sealed' rooms which are locked at all times when not in use.

3. Procedural Safeguards: Access is controlled by Oral and Pharyngeal Development Section staff.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Research Physiologist, Oral and Pharyngeal Development Section , NIDR
Building 31, Room 3B10, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists contact:

NIDR Privacy Act Coordinator
Westwood Building , Room 551
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Cooperating clinician or health agency, family members.

Systems exempted from certain provisions of the act: None.

09-25-0046

System name: Clinical Research: Catalog of Clinical Specimens from Patients, Volunteers and Laboratory Personnel, HHS/NIH/NIAID.

Security classification: None.

System location:

Building 7, Rooms 301 and 202, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients, volunteers, laboratory personnel in the National Institute of Allergy and Infectious Diseases (NIAID).

Categories of records in the system: Clinical specimens, attendant data and laboratory results.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Purpose(s): For diagnostic and epidemiologic studies of viral respiratory diseases and hepatitis, conducted by NIAID staff.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in data books.

Retrievability: Records are retrieved by name, patient or study number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to HHS scientists conducting research,and staff whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Data books are kept in locked rooms. Offices are locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Respiratory Viruses Section, NIAID
Building 7, Room 301, NIH
9000 Rockville Pike
Bethesda, MD 20205
and
Chief, Hepatitis Virus Section, NIAID
Building 7, Room 202, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to

Privacy Act Coordinator, NIAID
Room 705
Westwood Building
5333 Westbard Avenue
Bethesda, Maryland, 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedure above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Hospital records, field study records and collaborating scientists.

Systems exempted from certain provisions of the act: None.

09-25-0048

System name: Clinical Research: Serology-Epidemiology Parasite Research, HHS/NIH/NIAID.

Security classification: None.

System location:

Rocky Mountain Laboratory, NIH
Hamilton, MT 59840

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Blood or parasite donors participating in serology-epidemiology parasite research of the National Institute of Allergy and Infectious Diseases (NIAID).

Categories of records in the system: Results of blood tests and possible case histories.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Purpose(s): For serologic and epidemiologic studies on parasitic and rickettsial diseases (Rocky Mountain spotted fever, in particular) conducted by NIAID staff.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to state governments as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to HHS scientists conducting research,and staff whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Offices are locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Administrative Officer
Rocky Mountain Laboratory, NIH
Hamilton, MT 59840

Notification procedure: To determine of a record exists write to

Privacy Act Coordinator, NIAID
Room 705
Westwood Building
Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to 5,000 dollar fine.

Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual, who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

Record access procedures: Same as notification procedure above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Personal physician of donor and state health departments.

Systems exempted from certain provisions of the act: None.

09-25-0049

System name: Clinical Research: Atlanta Federal Prison Malaria Research Projects, HHS/NIH/NIAID.

Security classification: None.

System location:

Building 8, Room 326, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Prisoners in the Atlanta Federal Prison who have volunteered to participate in malaria research studies of the National Institute of Allergy and Infectious Diseases (NIAID).

Categories of records in the system: Medical history records.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Purpose(s): For malaria research studies of the NIAID.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: diseases are reported to state governments as required by law.

A record may be disclosed for a research purpose, when the Department:(A)has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;(B)has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;(C)has required the recipient to (1) establish reasonable

administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earlies time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;(D)has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to HHS scientists conducting research and staff whose duties require the use of such information. Authorized users are located in the Malaria Section, Laboratory of Parasitic Diseases, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Offices are locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Head, Malaria Section, NIAID
Building 8, Room 326, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine of a record exists write to

Privacy Act Coordinator, NIAID
Room 705
Westwood Building
Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to 5,000 dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedure above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals, referring physicians, collaborating scientists, hospitals.

Systems exempted from certain provisions of the act: None.

09-25-0050

System name: Grants: Trainees Record System, HHS/NIH/NIAID.

Security classification: None.

System location:

Westwood Building, Room 735
5333 Westbard Avenue
Bethesda, MD 20205

Categories of individuals covered by the system: Trainees under training grants of the National Institute of Allergy and Infectious Diseases (NIAID).

Categories of records in the system: Name of trainee, amount of support, scientific discipline code, level of degree, date of training.

Authority for maintenance of the system: 42 USC 2891-1, 58 Stat. 691c & d repealed, 64 Stat. 44.

Purpose(s): To prepare reports on currently supported NIAID trainees for review and evaluation by the Office of the Director, Extramural Activities Program, and by the Office of the Director, NIAID.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on card files and magnetic tapes.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Program Analysis and Evaluation Branch, Extramural Activities Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Access to computer facilities is by card key. The building is locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. For machine-readable records, access is controlled by the use of security codes known only by authorized users.

Retention and disposal: Records are retained for six years after a grant is closed out.

System manager(s) and address:

Head, Data Control Section, NIAID
Westwood Building 733
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists write to:

Privacy Act Coordinator, NIAID
Division of Research Grants
Westwood Building 705
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Report of appointment of trainee.

Systems exempted from certain provisions of the act: None.

09-25-0051

System name: Grants: NIH Fellowship Payroll, HHS/NIH/DFM.

Security classification: None.

System location:

Building 31, Room B1B07, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Recipients of NIH Fellowships.

Categories of records in the system: Recipient's name, address and social security number (SSN), payroll data.

Authority for maintenance of the system: 58 Stat. 691c repealed, 42 USC 2891-1.

Purpose(s): To report income subject to tax and taxes withheld to the Internal Revenue Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: Offices are locked during off-duty hours.

Retention and disposal: Records are retained for one year at NIH and for 9 years at the Washington National Records Center.

System manager(s) and address:

Chief, Federal Assistance Accounting Branch
Building 31, Room B1B07, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the system manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individual fellow and notice of fellowship award.

Systems exempted from certain provisions of the act: None.

09-25-0053

System name: Clinical Research: Vision Studies. HHS/NIH/NEI.

Security classification: None.

System location:

Building 10, Room 10N325, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients of Intramural Research Clinical Studies, National Eye Institute.

Categories of records in the system: Medical history as relevant to vision research.

Authority for maintenance of the system: 42 USC 241, 289i, 289k.

Purpose(s): 1. To gather photographic evidence of various stages or progressions of certain visual disorders;2. To record certain diagnostic test results (such as color vision testing) in the compilation of empirical data to support research evaluations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Certain infectious diseases may be reported to State Government as required by law.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file cabinets.

Retrievability: Records are retrieved by name and cross referenced by anatomical entity.

Safeguards: Employees who maintain records in this system are instructed to grant regular access only to HHS scientists conducting research and physicians treating the patient whose records are involved. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the System Manager. File cabinets are in locked rooms and access to files is strictly controlled. Specifically, records may be removed from files only at the request of the System Manager or authorized employees.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Clinical Director
Building 10, Room 10N313, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Executive Officer
Building 31, Room 6A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review

the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Medical examinations conducted by and under the direction of the research investigators.

Systems exempted from certain provisions of the act: None.

09-25-0054

System name: Administration: Property Accounting. HHS/NIH/ORS.

Security classification: None.

System location:

Building 13, Room 2W35, NIH
9000 Rockville Pike
Bethesda, MD 20205

NIH Computer Center, Building 12
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Employees of the National Institutes of Health who are issued tools or card keys.

Categories of records in the system: Property management.

Authority for maintenance of the system: 5 USC 301; 5 USC 5901; 5 USC 7903; 40 USC 318a; 42 USC 241.

Purpose(s): Used for tool and card keys issuance and control.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, and on computer-sensible media.

Retrievability: Records are retrieved by name.

Safeguards: Textual records are stored in offices which are locked when not in use. Computer files are password protected.

Retention and disposal: Records are kept until two years after an item is released by an individual.

System manager(s) and address: For tools:

Administrative Officer, DES
Building 13, Room 2W35, NIH
9000 Rockville Pike
Bethesda, MD 20205

For card keys:

Security Specialist, DAS
Building 31, Room B1C06, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and the corrective action sought.

Record source categories: Data is obtained from the individual.

Systems exempted from certain provisions of the act: None.

09-25-0055

System name: Clinical Research: Baltimore Cancer Research Program Patients. HEW/NIH/NCI.

Security classification: None.

System location:

Baltimore Cancer Research Program
22 South Green Street
Baltimore, MD 21202

Write to System Manager at the address above for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Cancer patients treated at the Baltimore, Md. Cancer Research Program.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Purpose(s): Research by staff to determine cancer survival rates based on modes of treatment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by patient number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in limited access areas. Offices are locked during off-duty hours.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Administrative Officer
Baltimore Cancer Research Program
22 South Green Street
Baltimore, MD 21202

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Patients' personal physicians, NIH staff treating the patients or performing tests, and patients themselves.

Systems exempted from certain provisions of the act: None.

09-25-0057

System name: Clinical Research: Burkitt's Lymphoma Registry. HHS/NIH/NCI.

Security classification: None.

System location:

Building 37, Room 1B28
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Patients with Burkitt's Lymphoma in the registry of the National Cancer Institute.

Categories of records in the system: Clinical abstracts, pathology reports, and other laboratory correspondence with attending physicians.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Purpose(s): Epidemiologic research on Burkitt's Lymphoma.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Head, Clinical Studies Section
Medical Officer, Laboratory of Viral Carcinogenesis
Landow Building, Room 8C18
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Hospitals, Pathology Reports, Medical Histories.

Systems exempted from certain provisions of the act: None.

09-25-0060

System name: Clinical Research: Division of Cancer Treatment Clinical Investigations. HHS/NIH/NCI.

Security classification: None.

System location:

Building 10, Room 3B18, NIH
9000 Rockville Pike
Bethesda, MD 20205
and
Frederick Cancer Research Center
Building 426
Frederick, Maryland 21701

Categories of individuals covered by the system: All patients who have been hospitalized in the National Cancer Institute.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Purpose(s): 1. Patient care and treatment. 2. Epidemiological research.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their

staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tapes and on index cards.

Retrievability: Records are retrieved by patient name or number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute, or its contractors, whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Biometric Research Branch
Building 10, Room 3B16
9000 Rockville Pike
Bethesda, MD 20205
and
Chief, Clinical Investigations Section
Biological Response Modifiers Program
Frederick Cancer Research Center
Building 426
Frederick, Maryland 21701

Notification procedure: Write to system manager for the appropriate location to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Hospital medical records, referring physician, referring hospitals, clinical laboratories, patient contact, and Central Tumor Registries.

Systems exempted from certain provisions of the act: None.

09-25-0064

System name: Clinical Research: Japanese Hawaiian Cancer Studies. HHS/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Hawaiians of Japanese descent who were/are patients diagnosed with cancer of certain sites or with gastric ulcers, and normal controls.

Categories of records in the system: Medical, diet, residence & occupational history; clinical lab test results.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Purpose(s): Research into the causes of cancer, including precursor conditions and factors affecting the etiology and epidemiology of the disease.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tape and microfiche and in file folders and on slides.

Retrievability: Records are retrieved by name or ID number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is

controlled through security codes known only to authorized users. Access codes are changed frequently.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Biometry Branch
Landow Building, Room 5C03, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Information obtained from interview with cancer patients or their relatives, hospitalized controls, community and hospital records.

Systems exempted from certain provisions of the act: None.

09-25-0067

System name: Clinical Research: National Cancer Incidence Surveys. HHS/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Persons diagnosed as having cancer during 1969-71 in geographical areas of the US.

Categories of records in the system: Medical history, insurance and hospital cost data, and death records.

Authority for maintenance of the system: 42 USC 241, 281, 182.

Purpose(s): Comparison of trends in cancer incidence between the second and third national cancer surveys, i.e. between 1969-71 and 1947.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on microfiche and on magnetic tapes.

Retrievability: Records are retrieved by name and study number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Demographic Analysis Section
Landow Building, Room 5B06, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Hospital medical records.

Systems exempted from certain provisions of the act: None.

09-25-0068

System name: Clinical Research: National Cancer Institute/American Cancer Society National Breast Cancer Screening of Antihypertensives. HHS/NIH/NCI.

Security classification: None.

System location:

Landow Building, Room B506, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Women screened for breast cancer by the National Cancer Institute/American Cancer Society-sponsored screening centers.

Categories of records in the system: Medical history questionnaires from all individuals; treatment questionnaires from physicians of individuals on antihypertensives.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Purpose(s): Epidemiological research to study factors possibly related to breast cancer. This program involves collaboration with the Food and Drug Administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, on computer printouts and tapes.

Retrievability: Records are retrieved by patient name and number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

Retention and disposal: Years at NIH: 5. Years at Federal Records Center: 10.

System manager(s) and address:

Chief, Demographic Analysis Section
Landow Building, Room 5B06, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Data is obtained from the individual, and if applicable, from the individual's physician with explicit permission.

Systems exempted from certain provisions of the act: None.

09-25-0069

System name: NIH Clinical Center Admissions of the National Cancer Institute: HHS/NIH/NCI.

Security classification: None.

System location:

Landow Building, Rm. 4C18 and 5C37
7910 Woodmont Avenue
Bethesda, MD 20205

Building 10, Rm 3C18, NIH,
9000 Rockville Pike
Bethesda, MD 20205

Building 31, Room 3A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Current and former cancer patients admitted to the NIH Clinical Center or the National Cancer Institute (NCI).

Categories of records in the system: Medical histories, reports and correspondence.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Purpose(s): National Cancer Institute physicians and supporting staff are involved in the cause and diagnosis of disease and the treatment of patients, requiring the maintenance of working files to chart progress, responses to treatment, etc.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on computer files.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute and the Clinical Center whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in limited access areas. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address: Appendix II

Chief, Clinical Genetics Section
Division of Cancer Cause and Prevention
Landow Bldg., Rm. A521, NIH
7910 Woodmont Avenue
Bethesda, Maryland 20205

Chief, Biometric Research Branch
Division of Cancer Treatment
Building 10, Room 3B16
9000 Rockville Pike
Bethesda, MD 20205

Administrative Officer
Division of Cancer Biology and Diagnosis
Building 31, Room 3A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to system manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Patients' personal physicians, NIH staff treating the patients or performing tests, and patients themselves.

Systems exempted from certain provisions of the act: None.

09-25-0074

System name: Clinical Research: Veterans Administration Bladder & Prostate Cancer Clinical Trials. HHS/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Veterans Administration patients with bladder or prostate cancer.

Categories of records in the system: Medical & treatment history.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Purpose(s): Research by staff to compare treatments of bladder and prostate cancer, develop statistical methodolgy, and trace the natural history of the disease under study.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in files and on computer tapes and discs.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Computer Systems Manager
Landow Building, Room 5C08, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Hospitals.

Systems exempted from certain provisions of the act: None.

09-25-0075

System name: Administration: Principal Investigators Submitting Proposals for Protection from Research Risks. HHS/NIH/OD.

Security classification: None.

System location:

Westwood Building, Room 3A-12
5333 Westbard Avenue
Bethesda, MD 20205

Categories of individuals covered by the system: Persons submitting research proposals to the National Institutes of Health involving risks to subjects or matters pertaining to the protection of the rights and welfare of human research subjects.

Categories of records in the system: Research protocol, identification of Principal Investigator, institution.

Authority for maintenance of the system: 42 USC 241(c) (g).

Purpose(s): Monitoring of research proposals that may involve undue risks to subjects or ethical considerations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on card file.

Retrievability: Records are retrieved by name of Principal Investigator.

Safeguards: Records are maintained in offices which are monitored during business hours and are locked during off-duty hours.

Retention and disposal: Records are kept for 6 years after the end of a research project or 6 years after final action in any case involving litigation.

System manager(s) and address:

Director, OPRR
Westwood Building, Room 3A-18, NIH
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Proposals submitted by individuals, but identified by employees or consultants of HHS as possibly involving undue hazards.

Systems exempted from certain provisions of the act: None.

09-25-0077

System name: Clinical Research: Biological Carcinogenesis Branch Human Specimen Program. HHS/NIH/NCI.

Security classification: None.

System location:

Landow Bldg., Rm. 9A22
7910 Woodmont Avenue
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Cancer and other patients, and normal donors of biopsy and tumor specimens, seen at clinically-oriented organizations under contract to the National Cancer Institute. Both adults and children are covered.

Categories of records in the system: Medical history and diagnostic information about the donor, information on the type of specimen, location of repository (if specimen is stored before use), and distribution record.

Authority for maintenance of the system: 42 USC 241, 281, 282.

Purpose(s): 1. For cancer research, using by-products of cancer treatment such as biopsy and tumor specimens that would normally be discarded, to allow interpretation of experimental results;

2. To project future research needs;
3. To monitor and evaluate contractor procurement performance;
4. To monitor and evaluate the NCI distribution system .

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, magnetic tape, discs.

Retrievability: Retrieved by name of donor and cross-referenced by identifying number, procurement source, and various epidemiological characteristics.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

3. Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Deputy Chief, Biological Carcinogenesis Branch
Division of Cancer Cause and Prevention
Landow Building, Room 9A-22
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Specimen Report Form filled out by the organization providing specimens.

Systems exempted from certain provisions of the act: None.

09-25-0078

System name: Administration: Consultant File. HHS/NIH/NHLBI.

Security classification: None.

System location:

Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

Categories of individuals covered by the system: List of consultants available for use in evaluation of National Heart, Lung and Blood Institute special grants and contracts.

Categories of records in the system: Names, resumes, lists of publications.

Authority for maintenance of the system: 42 U.S.C. 241(d), 281.

Purpose(s): 1. To identify and select experts and consultants for program reviews and evaluations.

2. For use in evaluation of NHLBI special grants and contracts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer disk and file folders.

Retrievability:

Safeguards: 1. Data on computer files is accessed by keyword known only to authorized users. 2. Rooms where records are stored are locked when not in use.

Retention and disposal: Records are kept until the individual is no longer available for consultation.

System manager(s) and address:

Systems Analyst, DEA, NHLBI
Westwood Building, Room 5A-15
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: To determine is a record exists, contact:

Privacy Act Coordinator, NHLBI
Building 31, Room 5A-50, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Subject individual.

Systems exempted from certain provisions of the act: None.

09-25-0084

System name: Administration: Curricula Vitae. HHS/NIH/NIADDK

Security classification: None.

System location:

Building 31, Room 9A04, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address above for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Consultants, scientists, advisory board and commission members.

Categories of records in the system: Employment, education, personal and achievement histories.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Purpose(s): 1. To communicate information to the public regarding awards received, presentation of papers, and promotions of National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases (NIADDK) scientists and administrative personnel.

2. To respond to requests for current biographical information about NIADDK scientists.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to professional and support staff of the Office of Scientific and Technical Reports, NIADDK.

2. Physical Safeguards: Records are stored in a locked file cabinet.

2. Procedural Safeguards: Access to files is limited by files staff. Records may be removed from files only at the request of authorized employees.

Retention and disposal: Years at NIH: 5. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Information Officer, NIADDK
Building 31, Room 9A03, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0087

System name: Administration: Employees and Consultants. HHS/NIH/NIAID.

Security classification: None.

System location:

Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Current and former key professional employees of the Institute and consultants.

Categories of records in the system: Press releases, curriculum vitae, nominations for awards and photographs.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Purpose(s): For background records to provide public announcements on National Institute of Allergy and Infectious Diseases (NIAID) Council members, advisors and guest lecturers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in file folders.

Retrievability: Retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to staff whose duties require the use of such information. Authorized users are located in the Office of the Director, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records in this system are stored in file folders which are kept in locked cabinets. The buiing is locked during off duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

Retention and disposal: Records are kept until no longer needed for reference.

System manager(s) and address:

Chief, Office of Research Reporting & Public Response
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to

NIAID Privacy Act Coordinator
Room 705
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as record notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the System Manager at the address above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals and newspaper clippings.

Systems exempted from certain provisions of the act: None.

09-25-0088

System name: Clinical Research: Researchers Using H-2 Soluble Antigen and H-2 Antiserum. HHS/NIH/NIAID.

Security classification: None.

System location:

Westwood Building, Room 707
5333 Westbard Avenue
Bethesda, Maryland 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Scientific investigators concerned with histocompatibility typing who have applied for research materials.

Categories of records in the system: Applications for research materials.

Authority for maintenance of the system: 42 USC 241, 263, 289a, 289c.

Purpose(s): 1. To maintain a record of active investigators using the research reagents (mouse major histocompatability complex (MHC) antisera which includes H2, IA, LY, and THY; and H-2 antigens which includes A, B, D and K), thereby facilitating feedback and exchange of information about the reagents among the investigators.

2. To control quantities of scarce regeants.

3. To collect data for reports to the Office of the Director, Immunology and Allergic and Immunologic Diseases Program, and to the Office of the Director, National Institute of Allergy and Infectious Diseases (NIAID), for program review and planning.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data regarding scientific investigators may be published in reagents catalogue and may be used to respond to public inquiries.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records in this system are stored on index cards, in file folders and on computer tapes and discs.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Immunobiology and Immunochemistry Branch, Immunology and Allergic and Immunologic Diseases Program (IAIDP), NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Textual records are stored in offices which are locked when not in use. Access to computer facilities is by key-card. The building is locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee. For computerized records, access is controlled by the use of security codes known only to authorized users.

Retention and disposal: Years at NIH: Indefinite.

System manager(s) and address:

Chief, Immunobiology and Immunochemistry Branch, IAIDP
Westwood Building, Room 752
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to

NIAID Privacy Act Coordinator
Room 705
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the System Manager at the address above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0089

System name: Clinical Research: HLA Antiserum and Tray Users. HHS/NIH/NIAID.

Security classification: None.

System location:

Westwood Building, Room 754
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Scientific and clinical investigators concerned with histocompatibility typing and immunological research who have applied for research materials.

Categories of records in the system: Applications for research materials.

Authority for maintenance of the system: 42 USC 241, 263, 289a, 289c

Purpose(s): 1. To maintain a record of active investigators using the research reagents (histocompatibility testing sera, homozygous typing cells and tissue typing trays), thereby facilitating feedback and exchange about the reagents among the investigators.

2. To control quantities of scarce reagents.

3. To collect data for reports to the Office of the Director, Immunology and Allergic and Immunologic Diseases Program and to the Office of the Director, NIAID, for program review and planning.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data regarding investigators may be published in reagents catalogue and may be used to respond to public inquiries.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on machine-readable media.

Retrievability: Records are retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Genetics and Transplantation Biology Branch, Immunology and Allergic and Immunologic Diseases Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Records in this system are stored on index cards, in file folders and on computer tapes and discs. The building is locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee. For computerized records, access is controlled by the use of security codes known only to authorized users.

Retention and disposal: Years at NIH: Indefinite.

System manager(s) and address:

Chief, Genetics and Transplantation Branch, IAIDP
Westwood Building, Room 752
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to

NIAID Privacy Act Coordinator
Room 705
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the System Manager at the address above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0091

System name: Administration: General Files on Employees, Donors and Correspondents. HHS/NIH/NEI.

Security classification: None.

System location:

Building 31, Room 6A03, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Donors of gifts, employees, correspondents of the National Eye Institute (NEI).

Categories of records in the system: Budget, administrative services, correspondence.

Authority for maintenance of the system: 42 USC 289i.

Purpose(s): 1. To authorize and approve payment of official travel;

2. To identify certain donors of unconditional gifts to the National Eye Institute ;

3. To record certain delegations, permit holders, and submitters of suggestions;

4. To maintain a mailing list of persons in the vision research community;

5. To provide service or information to specific requesters;

6. To maintain accountability records of federal property custodians;

7. To communicate with collaborating investigators in vision research.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is: (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name and subject area.

Safeguards: Employees who maintain records in this system are instructed to grant regular access only to staff with designated responsibilities directly related to the purpose for which the records are kept. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Retention and disposal: Years at NIH: 1. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Executive Officer, NEI
Building 31, Room 6A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to

Records Management Officer, NEI
Building 31, Room 6A31, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0093

System name: Administration: Authors, Reviewers and Members of the Journal of the National Cancer Institute. HHS/NIH/NCI.

Security classification: None.

System location:

Westwood Building, Room 850
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Authors and manuscript reviewers and members of the Journal of the National Cancer Institute (JNCI) editorial board.

Categories of records in the system: Accepted, rejected and pending manuscripts and reviewing comments.

Authority for maintenance of the system: 42 USC 241, 281

Purpose(s): Manuscript review by NCI staff of manuscripts submitted for possible publication or oral presentations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to qualified experts not within the definition of Department employees for opinions as a part of the review of manuscripts.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name and manuscript number.

Safeguards: Access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 1. Disposal methods include burning or shredding.

System manager(s) and address:

Managing Editor, JNCI
Westwood Building, Room 850
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Authors and reviewers.

Systems exempted from certain provisions of the act: None.

09-25-0095

System name: Contracts: Principal Investigators, Project Officers and Contract Specialists on Carcinogenesis Contracts & Intramural Projects. HHS/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Principal investigators, project officers, and contract specialists.

Categories of records in the system: Projects titles and descriptors and cost data.

Authority for maintenance of the system: 42 U.S.C. 241(g), 281.

Purpose(s): Used by staff for general administrative purposes to assure compliance with contract and program requirements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contracts with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor is required to protect such records from improper disclosure.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tape.

Retrievability: Records are retrieved by name.

Safeguards: Locked buildings, locked computer room and computer tape vaults; key-card access to computer facilities, personnel screening,password protection of computer files.

Retention and disposal: Years at NIH: Records may be retired to a Federal Record Center and subsequently disposed of in accordance with the NIH records control schedule. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Coordinator, Information Activities, Technical Information Resources Branch,
Bioassay Testing Program, DCCP
Landow Building, Room 3A06
7910 Woodmont Avenue
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Contracts, proposals and annual reports.

Systems exempted from certain provisions of the act: None.

09-25-0096

System name: Contracts: National Cancer Institute Contract Management System Principal Investigators, Project Officers and Contract Specialists, HHS/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Principal investigators, project officers, and contract specialists.

Categories of records in the system: Contract projects administrative data (e.g., project titles and descriptions, contractor information, etc.), fiscal data (e.g., funding/cost data, obligations), and programmatic data (e.g., scientific classifications, scope of work).

Authority for maintenance of the system: 42 U.S.C. 241(g), 281.

Purpose(s): (1) Provides administrative and financial information for administration and tracking of procurement activities of National Cancer Institute (NCI) contracts;

(2) Collects and maintains this information in an accurate and timely fashion for financial reporting and budgeting, as well as ad hoc queries on NCI contracting activities;

(3) Provides pre-award tracking and milestone data used to monitor and administer the total procurement process.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tapes and on-line discs.

Retrievability: Records are retrieved by name.

Safeguards: Locked buildings, limited access computer room, locked tape vaults, personnel screening; password protection of computer files.

Retention and disposal: Years at NIH: 10. Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the NIH Records Control Schedule. Disposal methods include erasing computer tapes and shredding of printed output.

System manager(s) and address:

Manager, NCI Contract System
Research Contracts Branch
Blair Building, Room B-20
8300 Colesville Road
Silver Spring, MD 20910

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Negotiated Contract and Summary of Negotiations/IMPAC Code Sheet, NIH forms 1759-1 and 1759-2.

Systems exempted from certain provisions of the act: None.

09-25-0098

System name: Contracts: Carcinogenesis Extramural Program Principal Investigators, Project Officers and Contract Specialists, HHS/NIH/NCI.

Security classification: None.

System location:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Principal investigators, project officers, and contract specialists.

Categories of records in the system: Project titles and descriptions and cost data for Carcinogenesis Extramural Program, Division of Cancer Cause and Prevention, (DCCP) contracts.

Authority for maintenance of the system: 42 U.S.C. 241(g), 281.

Purpose(s): Used by staff for general administrative purposes to assure compliance with contract program requirements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on computer file and tapes.

Retrievability: Records are retrieved by name.

Safeguards: Locked buildings, locked rooms, personnel screening, locked computer room and computer tape vaults, key-card access to computer facility, password protection of computer files.

Retention and disposal: Years at NIH: 5. Disposal methods include erasing computer tapes.

System manager(s) and address:

Assistant Director for Extramural Activities, DCCP
Landow Bldg. Rm. 8C41
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to 5,000 dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Contracts, proposals, and annual reports.

Systems exempted from certain provisions of the act: None.

09-25-0099

System name: Clinical Research: Patient Medical Records. HHS/NIH/CC.

Security classification: None.

System location:

Building 10, Room 1N116
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: Registered Clinical Center patients. Some individuals not registered as patients but seen in Clinical Center for diagnostic tests.

Categories of records in the system: Medical treatment records.

Authority for maintenance of the system: 42 USC 241, 248.

Purpose(s): 1. To provide a continuous history of the treatment afforded individual patients in the Clinical Center;

2. To provide a data base for the clinical research conducted within the hospital.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be used to respond to Congressional inquiries for constituents concerning admission to NIH Clinical Center.

Social Work Department may give pertinent information to community agencies to assist patients or their families.

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Certain infectious diseases are reported to State Government as required by law.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, on microfiche and computer tapes.

Retrievability: Records are retrieved by unit number and patient name.

Safeguards: (1) Authorized Users: Employees maintaining records in this system are instructed to grant regular access only to physicians and dentists and other health care professionals participating in patient care or for whom a specific authorization is on file.

(2) Physical Safeguards: All record facilities are locked when system personnel are not present.

(3) Procedural Safeguards: Access to files is strictly controlled by the system manager. Records may be removed only by system personnel following receipt of a request signed by an authorized user. Access to computerized records is controlled by the use of security codes known only to the authorized user. Codes are user- and function-specific.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-E-22. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Chief, Medical Record Department
Building 10, Room 1N116
9000 Rockville Pike
Bethesda, Md. 20205

Notification procedure: To determine if a record exists, write to the system manager at the above address. The requester must provide tangible proof of identity, such as a driver's license. If no identification papers are available, the requester must verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative. The representative may be a physician, or other health professional, or other responsible individual, who has indicated that he or she is willing to review the record and inform the subject individual of its contents at the representative's discretion. The subject individual will be granted direct access unless it is determined that such access is likely to have an adverse effect on him or her. In that case, the medical/dental record will be sent to the designated representative. The individual will be informed in writing if the record is sent to the representative.

A parent or guardian who requests notification of or access to a child's/incompetent person's record shall designate in writing a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child/incompetent person as well as his/her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Referring physicians, other medical facilities (with patient's consent), patients, relatives of patients.

Systems exempted from certain provisions of the act: None.

09-25-0100

System name: Clinical Research: Neuropharmacology Studies. HHS/NIH/NINCDS.

Security classification: None.

System location:

Building 36, Room 5A06
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Patients in National Institute of Neurological and Communicative Disorders and Stroke (NINCDS) related studies concerning aspects of neuropharmacology.

Categories of records in the system: Medical data.

Authority for maintenance of the system: 42 USC 241, 289a, 289c.

Purpose(s): Clinical research on the pharmacology in various diseases of the central nervous system and on the effectiveness and action of drugs as given to treat these diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Certain infectious diseases are reported to State Government as required by law.

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the

Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in laboratory notebooks, file folders and on index cards.

Retrievability: Records are retrieved by name, diagnosis, data of laboratory determination.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to physicians and scientists working within a specific NIH laboratory.

(2) Physical Safeguards: Records are kept in a cabinet and locations which are locked during non-working hours.

(3) Procedural Safeguards: Persons having access to the system are trained in Privacy Act requirements. Records are used either in the system location or a designated work area. Records are returned to cabinets at the end of each working day. System location is attended at all times during working hours.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Director, Intramural Research, NINCDS
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists write to

Head, Admin. Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Other medical, scientific and educational institutions; individual physicians in private practice.

Systems exempted from certain provisions of the act: None.

09-25-0102

System name: Administration: Grants Associates Program Working Files. HHS/NIH/DRG.

Security classification: None.

System location:

NIH, Bg. 31, Room 1B55
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: Grants Associates Training Program Participants

Categories of records in the system: Application, correspondence, curriculum vitae including summary of assignments, reports on assignments, critiques of courses.

Authority for maintenance of the system: 5 USC Part III; 42 USC 241c.

Purpose(s): Records are maintained for program management:

1. to assist participants in obtaining maximum benefits from the Program;
2. to provide information, without individual identifiers or personal data, to current Grants Associates about assignments and other training opportunities;
3. to provide resumes to other HHS components for possible employment of Grants Associates;
4. for review and evaluation of changes in the Program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To U.S. Office of Personnel Management for salary approval.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: Access limited to authorized personnel (system manager and staff). Records are stored in locked cabinets in offices which are locked during off-duty hours.

Retention and disposal: Complete records are retained for 2 years after completion of the Grants Associate eppointment. Curriculum vitae including summary of assignments are kept indefinitely. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Executive Secretary, Grants Associates Program
NIH, Bg. 31, Room 1B55
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists write to

Privacy Act Coordinator, DRG
Westwood Building, Room 448, NIH
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as Notification Procedures above. Requesters should reasonably specify the record contents sought.

Contesting record procedures: Write to the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested, and the corrective action desired.

Record source categories: Individual, educational institution attended by individual, and personal references, and the Office of Personnel Management.

Systems exempted from certain provisions of the act: None.

09-25-0105

System name: Administration: Health Records of Employees, Visiting Scientists, Fellows, Contractors and Relatives of Inpatients. HHS/NIH/OD.

Security classification: None.

System location: 10, 13, 31, and 41

9000 Rockville Pike
Bethesda, MD 20205

Federal Building
7550 Wisconsin Avenue
Bethesda, MD 20205

Flow Laboratories, Inc.
1710 Chapman Avenue
Rockville, MD 20850

Rocky Mountain Laboratory
Hamilton, Montana 59840
Regional Federal Records Center

Categories of individuals covered by the system: Employees, fellows, visiting scientists, relatives of inpatients, visitors, contractors working on site.

Categories of records in the system: Medical records.

Authority for maintenance of the system: 5U.S.C. 7901

Purpose(s): 1. for medical treatment; upon researcher request;

2. with individual's written permission, release of record for research purposes to medical personnel;

3. upon request by HHS personnel offices: determination of fitness for duty, and for disability retirement and other separation actions, with copies to HHS personnel offices;

4. monitoring personnel to assure that safety standards are maintained.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Federal, State and local government agencies for adjudication of benefits under workman's compensation, and for disability retirement and other separation actions.

To District office of OPEC, Department of Labor with copies to the U.S. Office of Personnel Management for processing of disability retirement and other separation actions.

Upon non-HHS agency request, examination to determine fitness for duty with copies to requesting agency and to the U.S. Office of Personnel Management.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folder.

Retrievability: Records are retrieved by name.

Safeguards: Records are maintained in locked cabinets with access limited to authorized personnel (system manager and his staff).

Retention and disposal: Records are kept until 6 years after separation of an employee.

System manager(s) and address:

Occupational Medical Service
Building 10, Room B5A06, NIH
9000 Rockville Pike
Bethesda, MD 20205

Administrative Officer
Rocky Mountain Laboratory
Hamilton, Montana 59840

Notification procedure: Contact System Manager at appropriate treatment location listed above, to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Data resulting from clinical and preventive services provided at treatment location. Data received from individual.

Systems exempted from certain provisions of the act: None.

09-25-0106

System name: Administration: Executive Secretariat Correspondence Records. HHS/NIH/OD.

Security classification: None.

System location:

Building 12A, NIH
9000 Rockville Pike
Bethesda, MD 20205

Categories of individuals covered by the system: Individuals who request information on NIH programs.

Categories of records in the system: Correspondence.

Authority for maintenance of the system: 5 USC 301 44 USC 3101.

Purpose(s): 1. To locate and follow-up correspondence to assure prompt reply.

2. Incoming correspondence is forwarded to other HHS components when a response from them is warranted.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored by computer index and on file folders.

Retrievability: Records are retrieved by name, document number, date, and subject.

Safeguards: Access to textual records is limited to authorized personnel (system manager and staff). Computer files are password protected.

Retention and disposal: Records may are retained in accordance with the NIH records Control Schedule, items 1700-C-1 and 1700-C-2. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Director, Executive Secretariat
Building 1, Room 18, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Records are derived from incoming and outgoing correspondence.

Systems exempted from certain provisions of the act: None.

09-25-0108

System name: Personnel: Guest Workers/Visiting Fellows/Student Scientist/Scientists Emeriti HHS/NIH/DPM.

Security classification: None.

System location: Personnel and Administrative Offices of the National Institutes of Health (NIH).

Categories of individuals covered by the system: Individuals using NIH facilities who are not NIH employees.

Categories of records in the system: Personal information including name, address, date and place of birth, education, employment, pur-

pose for which NIH facilities are desired, outside sponsor, and NIH sponsor.

Authority for maintenance of the system: 42 USC 241.

Purpose(s): To document the individual's presence at NIH and to record that the individual is not performing a service for the government.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made:

To U.S. Office of Personnel Management for program evaluation purposes;

To General Accounting Office for fund disbursement determinations;

To institutions providing financial support;

To the U.S. State Department for matters related to its mission regarding foreign visitors;

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Records are retrieved by name.

Safeguards: The records are maintained in locked file cabinets with access limited to authorized personnel.

Retention and disposal: Years at NIH: 3 years after visit. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Assistant Director for Operations
Division of Personnel Management
Bldg. 1, Rm 19, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

Privacy Act Coordinator, DPM
Building 31, Room 1C39, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Contact the Personnel Officer or Administrative Officer in whose office the record is located and provide verification of identity as described under notification procedure above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the Personnel Officer or Administrative Officer in whose office the record is located, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individual, NIH sponsor, funding institution, State Department.

Systems exempted from certain provisions of the act: None.

09-25-0112

System name: Grants: Research, Research Training, Fellowship and Construction Applications and Awards. HHS/NIH/OD.

Security classification: None.

System location: See Appendix I.

Categories of individuals covered by the system: Grant applicants and Principal Investigators; Program Directors; Institutional and Individual Fellows; Research Career Awardees.

Categories of records in the system: Grant applications and review history, awards, financial records, progress reports and related correspondence.

Authority for maintenance of the system: 42 USC 241(c), (d), 276, 281, 287, 288, 289(a), (d), (e), (i), 289(k-2).

Purpose(s): 1. Information provided is used by NIH staff for review, award, and administration of grant programs.

2. Information is also used to maintain communication with former fellows who have incurred an obligation through the National Research Service Award Program.

3. Staff may also use curriculum vitae to identify candidates who may serve as ad hoc consultants or committee and council members in the grant peer review process.

4. As a part of the cost analysis of a proposed grant, a budget review is conducted of the percentage of time and effort listed under personnel category, equipment and supply categories, and other items listed under 'other' category.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made:

(1) Of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

(2) To the Cognizant Audit Agency for auditing;

(3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(4) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual;

(5) To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process;

(6) To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter;

(7) A record may be disclosed for a research purpose, when the Department:(A)has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;(B)has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;(C)has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;(D)has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

(8) To a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in a system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records;

(9) To the grantee institution in connection with performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made on a grant proposal.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in file folders, on computer tapes and discs, cards and in notebooks.

Retrievability: Retrieved by name and grant number.

Safeguards: A variety of physical and procedural safeguards are implemented, as appropriate, at the various locations of this system:

1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to officials whose duties require use of the information. These officials include review groups, grants management staff, other extramural program staff, health scientist administrators, data processing and analysis staff and management officials with oversight responsibilities for extramural programs. Other one-time and special access is granted on an individual basis as specifically authorized by the system manager. Authorization for access to computerized files is controlled by the system manager or designated official and is granted on a 'need to know' basis. Lists of authorized users are maintained.

2. Physical.

Secured facilities, locked rooms, locked cabinets, personnel screening; records stored in order of grant numbers which are randomly assigned.

3. Procedural Safeguards: Access to file rooms and files strictly controlled by files staff or other designated officials; charge-out cards identifying users required for each file used; inactive records transferred to controlled storage in Federal Records Center in a timely fashion; retrieval of records from inactive storage controlled by the system manager or designated official and by the NIH Records Management Officer; computer files are password protected and access is actively monitored by the Computer Center to prevent abuse. Employees are given specialized training in the requirements of the Privacy Act as applied to the grants program.

Retention and disposal: Years at NIH: 1 year after close out except for Construction Grants which are retained for 3 years after close-out. Years at Federal Records Center: 5 years except for National Research Service Awards, 9 years and Construction Awards, 12 years.

System manager(s) and address: See Appendix II.

Notification procedure: Write to official at the address specified in Appendix II to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Write to the official at the address specified in Appendix IV to obtain access to a record, and provide the same information as is required under the Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified in Appendix II and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information submitted by applicant; supplemented by outside reviewers and internal staff.

Systems exempted from certain provisions of the act: None.

Appendix I System Location

National Cancer Institute
Westwood Building, Room 833
5333 Westbard Avenue
Bethesda, MD 20205

National Heart, Lung, and Blood Institute
Westwood Building, Room 7A11
5333 Westbard Avenue
Bethesda, MD 20205

National Library of Medicine
Building 38A, Room 5N509
8600 Rockville Pike
Bethesda, MD 20209

National Institute of Allergy and Infectious Diseases
Westwood Building, Room 722
5333 Westbard Avenue
Bethesda, MD 20205

National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases
Westwood Building, Room 610
5333 Westbard Avenue
Bethesda, MD 20205

National Institute of Child Health and Human Development
Landow Building, Room A621
7910 Woodmont Avenue
Bethesda, MD 20205

National Institute on Aging
Building 31, Rm 5C39
9000 Rockville Pike
Bethesda, Maryland 20205

National Institute of Dental Research
Westwood Building, Room 518
5333 Westbard Avenue
Bethesda, MD 20205

National Institute of Environmental Health Sciences
Building 12, Room 1211
Research Triangle Park, North Carolina 27709

National Institute of General Medical Sciences
Westwood Building, Room 938
5333 Westbard Avenue
Bethesda, MD 20205

National Institute of Neurological and Communicative Disorders and Stroke
Federal Building, Room 10A12
7550 Wisconsin Avenue
Bethesda, MD 20205

National Eye Institute
Building 31, Room 6A47
9000 Rockville Pike
Bethesda, MD 20205

Division of Research Resources
Building 31, Room 5B34
9000 Rockville Pike
Bethesda, MD 20205

Washington National Records Center
4205 Suitland Road
Suitland, Maryland

Appendix II System Manager and Address

National Cancer Institute
Grants Privacy Act Coordinator
Room 8A18, Westwood Building
5333 Westbard Avenue
Bethesda, Maryland 20205

National Heart, Lung, and Blood Institute
Administrative Officer, Division of Extramural Affairs
Room 5A15, Westwood Building

National Library of Medicine
Associate Director for Extramural Programs
Building 38A, Room 5N505

National Institute of Allergy and Infectious Diseases
Chief, Grants Management Branch
Westwood Building, Room 710

National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases
Grants Management Officer
Room 639, Westwood Building

National Institute of Child Health and Human Development
Chief, Office of Grants & Contracts
Room A621, Landow Building

National Institute on Aging
Grants Management Officer
Room 5C39, Building 31

National Institute of Dental Research
Grants Management Officer, NIDR
Room 518, Westwood Building

National Institute of Environmental Health Sciences
Grants Management Officer
Room 1211, Building 12, NIEHS

National Institute of General Medical Sciences
Grants Management Officer, NIGMS
Room 938, Westwood Building

National Institute of Neurological and Communicative Disorders and Stroke
Grants Management Officer
Room 1004A, Federal Building

National Eye Institute
Grants Management Officer
Room 6A52, Building 31

Division of Research Resources
Director, Office of Grants and Contracts Management
Room 5B34, Building 31

Appendix III Notification Procedures

National Cancer Institute
Chief, Grants Administration Branch
Room 8A18, Westwood Building

National Heart, Lung, and Blood Institute
Privacy Act Coordinator, NHLI
Room 5A50, Building 31

National Library of Medicine
See Appendix II.

National Institute of Allergy and Infectious Diseases
See Appendix II.

National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases
Administrative Officer
Room 9A46, Building 31

National Institute of Child Health and Human Development
See Appendix II.

National Institute on Aging
See Appendix II.

National Institute of Dental Research
See Appendix II.

National Institute of Environmental Health Sciences
See Appendix II.

National Institute of General Medical Sciences
See Appendix II.

National Institute of Neurological and Communicative Disorders and Stroke
See Appendix II.

National Eye Institute
See Appendix II.

Division of Research Resources
See Appendix II.

Appendix IV Record Access Procedures

National Cancer Institute
Chief, Grants Administration Branch
Room 8A18, Westwood Building

National Heart, Lung and Blood Institute
See Appendix III.

National Library of Medicine
See Appendix II.

National Institute of Allergy and Infectious Diseases
Privacy Act Coordinator
Room 705, Westwood Bldg.

National Institute of Arthritis, Diabetes, Digestive and Kidney Diseases
See Appendix III.

National Institute of Child Health and Human Development
See Appendix II.

National Institute on Aging
See Appendix II.

National Institute of Dental Research

Grants Management Officer,
NIDR
Room 518
Westwood Building

National Institute of Environmental Health Sciences
See Appendix II.

National Institute of General Medical Sciences
Privacy Act Coordinator
Room 9A05, Westwood Building

National Institute of Neurological and Communicative Disorders and Stroke
Head, Administration Mgmt. Section
Room 8A47, Building 31

National Eye Institute
Administrative Officer
Room 6A31, Building 31

Division of Research Resources
Privacy Act Coordinator
Room 5B13, Building 31

09-25-0114

System name: Contracts: Personal Services Contractors. HHS/NIH/NIGMS.

Security classification: None.

System location:

Westwood Building, Room 9A09
5333 Westbard Avenue
Bethesda, Md. 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Individuals under contract with the National Institute of General Medical Sciences (NIGMS).

Categories of records in the system: Work qualifications, description of services to be performed.

Authority for maintenance of the system: 42 USC 241(d), 289e.

Purpose(s): 1. To maintain a record of agreed-upon services;2. For institute staff to use as a reference to monitor contractor's progress for the duration of the contract.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her indi-

vidual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in file folders.

Retrievability: Retrieved by name of contractor.

Safeguards: Records are kept in locked file cabinets and access limited to authorized personnel (system manager and his staff).

Retention and disposal: Years at NIH: 3. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Administrative Officer, NIGMS
Westwood Building Room 9A09
5333 Westbard Avenue
Bethesda, Md. 20205

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individual.

Systems exempted from certain provisions of the act: None.

09-25-0115

System name: Administration: Curricula Vitae of Consultants and Clinical Investigators, HHS/NIH/NIAID

Security classification: None.

System location:

Building 31, Room 747, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Consultants and Clinical Investigators under National Institute of Allergy and Infectious Diseases (NIAID) Investigational New Drug Applications.

Categories of records in the system: Curriculum vitae.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Purpose(s): 1. To maintain a record of Investigational New Drug (IND) applications.

2. To appoint consultants to the Clinical Research Subpanel (CRS).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in books.

Retrievability: Retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Clinical and Epidemiological Studies Branch, Microbiology and Infectious Diseases Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: Building is locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

Retention and disposal: Records are retained until no longer needed for reference.

System manager(s) and address:

Chief, Clinical and Epidemiological Studies Branch, NIAID
Building 31, Rm 7A49
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to

NIAID Privacy Act Coordinator
Room 705
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as record notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0116

System name: Contracts: Medical Consultants Under Professional Services Contracts, HHS/NIH/NIAID.

Security classification: None.

System location:

Westwood Building, Room 750, NIH
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Medical consultants under contract with the National Institute of Allergy and Infectious Diseases (NIAID).

Categories of records in the system: Administrative files, biographical data.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Purpose(s): To prepare travel orders, professional services contracts, and honorarium forms for consultants to NIAID.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in card files.

Retrievability: Retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Development and Applications Branch, Microbiology and Infectious Disease Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical Safeguards: The building is locked during off-duty hours.

3. Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

Retention and disposal: Records are retained for up to 6 years after final payment on a contract.

System manager(s) and address:

Chief, Development and Applications Branch, NIAID
Westwood Bldg., Rm. 750
5333 Westbard Ave.
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to

NIAID Privacy Act Coordinator
Room 705

Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as record notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

09-25-0117

System name: International Activities: US-Japan Program Panel Members, HHS/NIH/NIAID.

Security classification: None.

System location:

Westwood Buidling, Room 749
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Panel Members of the U.S.-Japan Cooperative Medical Science Program.

Categories of records in the system: Letters of appointment, curriculum vitae & correspondence.

Authority for maintenance of the system: 42 USC 241(d) 289a.

Purpose(s): 1. For use in administering the U.S.-Japan Cooperative Medical Science program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in file folders.

Retrievability: Retrieved by name.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant access only to National Institute of Allergy and Infectious Diseases (NIAID) staff whose duties require the use of such information. Authorized users are located in the Microbiology and Infestious Diseases Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

2. Physical
Building is locked during off-duty hours.
3. Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

Retention and disposal: Years at NIH: 2. Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Special Assistant to the Director, Microbiology and Infectious Diseases Program, NIAID
Westwood Building, Room 749
5333 Westbard Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to

NIAID Privacy Act Coordinator
Room 705
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as record notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Panel members.

Systems exempted from certain provisions of the act: None.

09-25-0118

System name: Contracts: Professional Services Contractors. HHS/NIH/NCI.

Security classification: None.

System location:

Building 31, Rm. 6A09, DCT
9000 Rockville Pike
Bethesda, Md. 20205

Building 31, Rm. 3A22, OD
9000 Rockville Pike
Bethesda, Md. 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Individuals under contract with the National Cancer Institute.

Categories of records in the system: Professional Services Contracts.

Authority for maintenance of the system: 42 USC 241(d), 281.

Purpose(s): Used by staff for general administrative purposes to assure compliance with contract program requirements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored in file folders.

Retrievability: Retrieved by name.

Safeguards: Records are maintained in offices which are locked when not in use. Access is limited to authorized personnel (system manager and staff).

Retention and disposal: Years at NIH: 5. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address:

Administrative Officer, DCT
Building 31, Room 3A50, NIH
9000 Rockville Pike
Bethesda, MD 20205

Administrative Officer, OD
Building 31, Room 11A29, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: Write to the appropriate System Manager listed above to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the

information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Individuals in the system.

Systems exempted from certain provisions of the act: None.

09-25-0121

System name: International Activities: Senior International Fellowships Program. HHS/NIH/FIC.

Security classification: None.

System location:

Bldg. 38A,Room 617, NIH
9000 Rockville Pike
Bethesda, MD, 20205
Write to System Manager at the address below for the address of the Federal Records Center where records from this system are stored.

Categories of individuals covered by the system: Applicants for Senior International Fellowships.

Categories of records in the system: Applications and associated records and reports.

Authority for maintenance of the system: 42 U.S.C. 242 e.

Purpose(s): For award and administration of fellowships to outstanding faculty members in midcareer from U.S biomedical research and educational institutions for study abroad.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Each fellow's home institution receives a notice of award and funding for the fellowship.

Applications are made available to authorized employees and agents of the US, including the General Accounting Office for purposes of investigations, inspections and audits, and in appropriate cases, to the Department of Justice for proper action under civil and criminal laws.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders; magnetic tapes.

Retrievability: Name and fellowship number.

Safeguards: (1) Authorized Users. Employees who maintain records in this system are instructed to grant regular access only to Fogarty International Center (FIC) program staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the the system manager.

(2) Physical Safeguards. The records are maintained in locked file cabinets and offices are locked during off-duty hours.

(3) Procedural Safeguards. Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employees.

Retention and disposal: Number of years held at NIH: 1. Number of years held at Federal Records Center before disposal: 5.

System manager(s) and address:

Chief, International Research Awards Branch
Bldg. 38A, Room 617
9000 Rockville Pike
Bethesda, Md. 20205

Notification procedure: Requests for notification of or access to records should be addressed to the system manager, listed above. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to 5,000 dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information obtained from applicants and persons supplying recommendations through the Division of Research Grants.

Systems exempted from certain provisions of the act: None.

09-25-0123

System name: Clinical Research: Clinical Trials Dealing with Fertility-Regulating Methods. HHS/NIH/NICHD.

Security classification: None.

System location:

Landow Bldg., Room C625
7910 Woodmont Ave.
Bethesda, Md. 20205
and at hospitals and medical centers under contract. A list of contractor sites may be obtained from the System Manager.

Categories of individuals covered by the system: Volunteers and patients in clinical trials dealing with male and female fertility-regulating methods.

Categories of records in the system: Medical records of subjects participating in clinical trials.

Authority for maintenance of the system: 42 USC 241(g), 289d.

Purpose(s): 1. Analysis of the effectiveness, side-effects and safety of various fertility-regulating approaches in male and female by the Contraceptive Development Branch, Center for Population Research, National Institute of Child Health and Human Development (NICHD), which receives data extracted by principal investigators from research records .

2. Program management.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. Certain infectious diseases are reported to state governments as required by law.

. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, computer tapes or disks.

Retrievability: Name or identifier codes.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator and staff assigned to the project, project officer, contracting officer). For computerized records, records are retrieved by an coded number and personal identifiers, such as name or patient number, are deleted. Other safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) are used, limiting access to the authorized personnel stated.

Retention and disposal: One year to indefinitely, depending on the requirements of the specific study. Records are shredded, burned or erased.

System manager(s) and address:

Chief, Contraceptive Development Branch, Center for Population Research, NICHD
Landow Bldg., Room 7A04

7910 Woodmont Ave.
Bethesda, Maryland 20205

Notification procedure: To determine if a file exists, write to the System Manager and provide the following information:

1. Approximate dates and place of treatment.
2. Name of the study, if known.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information provided by subjects and clinical investigators.

Systems exempted from certain provisions of the act: None.

09-25-0124

System name: Administration: Pharmacology Research Associates, HHS/NIH/NIGMS

Security classification: None.

System location:

National Institutes of Health
Westwood Bldg., Room 919
5333 Westbard Avenue
Bethesda, Maryland 20205

Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Applicants for positions as Pharmacology Research Associates with the National Institute of General Medical Sciences (NIGMS).

Categories of records in the system: Individual application forms, academic transcripts and references.

Authority for maintenance of the system: 42 USC 209.

Purpose(s): (1) For review, award, and administration of the Pharmacology Research Associate Program (PRAT).

(2) For consideration of the applicant by other NIH Associate Programs at the applicant's request.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: By name of applicant.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager and his/her staff assigned to the program).

Retention and disposal: 1. Records of applicants who are admitted to the program are kept not more than 5 years. 2. Records of applicants who are not admitted to the program are kept for one year. All records are shredded after proper time has elapsed.

System manager(s) and address:

Director, PRAT Program
Pharmacological Sciences, NIGMS
Westwood Bldg., Room 919
Bethesda, Maryland 20205

Notification procedure: To determine if a file exists, write to the System Manager and provide the following information: applicant's name, date of application.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information provided by applicants, university registrars, and references.

Systems exempted from certain provisions of the act: None.

09-25-0126

System name: Clinical Research: National Heart, Lung, and Blood Institute Epidemiological and Biometric Studies.

Security classification: None.

System location: Records included in this system are located in hospitals, universities, research centers, research foundations, and coordinating centers under contract with the National Heart, Lung, and Blood Institute, and in NHLBI facilities in Bethesda, Maryland. A list of locations is available from the system manager.

Categories of individuals covered by the system: Participants in these studies include 1) individuals who have been or who are presently being treated by the National Heart, Lung, and Blood Institute, for diseases or conditions of the heart, lung, blood vessels and blood; 2) individuals whose physical, genetic, social, economic, environmental, behavioral or nutritional conditions or habits are being studied in relation to the incidence of heart, lung, blood vessel and blood diseases among human beings; and 3) normal volunteers who have agreed to provide control data germane to these studies.

Categories of records in the system: This system consists of a variety of clinical, medical, and statistical information resulting from or contained in research findings, medical histories, vital statistics, personal interviews, questionnaires, or direct observation. The system also includes records of current addresses of study participants, photographs, fingerprints, and correspondence from or about participants in these studies.

Authority for maintenance of the system: Sec. 412, 413 Public Health Service Act (42 U.S.C. 287a, 287b)

Purpose(s): (1) Summaries of data resulting from these studies are used by the National Heart, Lung, and Blood Institute to monitor and evaluate the incidence of the diseases or the conditions under investigation and the relationship of various factors to the occurrence of these diseases.

(2) The summaries are also used for program planning and evaluation purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

2. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

3. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice.

4. Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

5. The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

6. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

7. Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

8. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

9. A record may be disclosed for a research purpose, when the Department:

(A)has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B)has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C)has required the recipient to (i) establish reasonable administrative, technical, and physical safequards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earlies time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D)has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored in file folders, magnetic tapes or discs, punched cards, bound note books.

Retrievability: Name and/or participant identification number.

Safeguards: Access to or disclosure of information is limited to authorized researchers and NHLBI employees whose duties require the use of such information. Data stored in computers is accessed through the use of key words known only to principal investigatores or authorized personnel. All other information is stored in locked files. Locations are locked during non-working hours, and are attended at all times during working hours.

Retention and disposal: Records are retained and destroyed according to the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), section 3000-G. For a copy of this authority, write to the 10

Associate Director for Epidemiology and Biometry
National Heart, Lung, and Blood Institute
Federal Building, 2C-08
7550 Wisconsin Avenue
Bethesda, MD 20205

Notification procedure: To determine if a record exists, contact:

NHLBI Privacy Coordinator
Building 31, NIH
9000 Rockville Pike
Bethesda, MD 20205

Requesters must provide the following information in writing:

1. Full name
2. Name and location of research study
3. Approximate dates of enrollment.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: System Manager as indicated above. The contestor must reasonably specify in writing the record contents at issue and state the corrective action sought and the reasons for the correction.

Record source categories: Information contained in these records is obtained directly from individual participants and from medical and clinical research observations.

Systems exempted from certain provisions of the act: None.

09-25-0127

System name: Clinical Research: Clinical Trials Dealing with Phototherapy for Neonatal Hyperbilirubinemia, HHS/NIH/NICHD.

Security classification: None.

System location:

National Institute of Child Health and Human Development (NICHD)
Bldg. 31, Room 2A-50
9000 Rockville Pike
Bethesda, Maryland 20205
and six contract sites performing the trials (See Appendix).

Categories of individuals covered by the system: Patients in clinical trials dealing with phototherapy in the newborn.

Categories of records in the system: Individual medical and laboratory records of subjects participating in the study.

Authority for maintenance of the system: 42 U.S.C. 241(g), 289d.

Purpose(s): To study the effects of phototherapy on the treatment of hyperbilirubinemia in newborns and the subsequent development of the patient.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from that office made at the request of that individual, parents, or guardian.

2. Certain infectious diseases are reported to state governments as required by law.

3. Information may be given to a primary care physician when treatment or follow-up of a condition noted during the one-year examination given each patient in the study is indicated.

4. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, computer tapes or discs.

Retrievability: Name or identifier code.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to members of the Biometry Branch who are participating in the analysis to the Program Director and to Principal Investigators. All of those having access to the collected data are physicians involved in the study except for those in the Biometry Branch.

(2) Physical Safeguards: All material having the code by the hospital of origin is kept in locked cabinets.

(3) Procedural Safeguards: Access to files is strictly controlled by the Biometry Branch members. Records may be removed from files only with approval of the Program Director. For computerized records and analyses, access is controlled by the use of security codes known only to the Biometry Branch personnel involved. The computer system maintains an audit record of all attempted and successful requests for access.

Retention and disposal: One year to indefinitely, depending on the length of the patient follow-up required to complete the study. Records are shredded, burned or erased.

System manager(s) and address:

Chief, Section on Human Biochemical and Developmental Genetics, NPMB
Intramural Research Program, NICHD
Bldg. 10, 13N258
9000 Rockville Pike
Bethesda, Maryland 20205

Notification procedure: To determine if a file exists, write to the System Manager and provide the following information:

1. Approximate dates and place of treatment.
2. Name of the study, if known.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information provided by subjects and clinical investigators.

Systems exempted from certain provisions of the act: None.

APPENDIX

N01-HD-4-2818

University of Cincinnati
College of Medicine
Cincinnati, Ohio 45219

Principal Investigator:
James M. Sutherland, M.D.

N01-HD-4-2819

State University of New York
Downstate Medical Center
450 Clarkson Avenue
Brooklyn, NY 11203

Principal Investigator:
Dr. Audrey K. Brown

N01-HD-4-2820

Virginia Commonwealth University
Medical College of Virginia
1200 East Broad Street
Richmond, VA 23298

Principal Investigator:
Harold M. Maurer, M.D.

N01-HD-4-2821

Long Island Jewish Hillside Medical Center
New Hyde Park
New York 11041

Principal Investigator:
Philip J. Lipsitz, M.D.

N01-HD-4-2822

Albert Einstein College of Medicine,
Yeshiva University
1300 Morris Park Avenue
Bronx, NY 10461

Principal Investigator:
Lawrence M. Gartner, M.D.

N01-HD-4-2823

Professional Staff Association of the LAC/USC Medical Center
Women's Hospital, Room 919L
1240 Mission Road
Los Angeles, CA 90033

Principal Investigators:
Joan E. Hodgman, M.D.
Paul U. K. Wu, M.D.

09-25-0128

System name: Clinical Research: Neural Prosthesis & Biomedical Engineering Studies. HHS/NIH/NINCDS.

Security classification: None.

System location:

Federal Building, Room 120
7550 Wisconsin Ave.
Bethesda, Md 20205

and: (1) at hospitals and medical centers under contract, and (2) Federal Records Centers. A list of locations is available upon request from the system manager.

Categories of individuals covered by the system: Patients and normal volunteers, males and females, participating in clinical studies to determine the feasibility of neural prostheses, and in clinical studies related to the development of instrumentation for diagnosis and treatment of neurological and sensory disorders conducted under contract for the National Institute of Neurological and Communicative Disorders and Stroke (NINCDS).

Categories of records in the system: Clinical research data as related to studies which seek to determine the feasibility of neural prostheses and to develop instrumentation for diagnosis and treatment of neurological and sensory disorders.

Authority for maintenance of the system: 42 U.S.C. 421, 289a, 289c.

Purpose(s): 1. Clinical research on the development of neural prosthesis (artificial devices) to enhance function of individuals with various disorders of the central nervous system.

(2) Research on the development of new instruments to improve diagnosis and treatment of disorders of the nervous system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

3. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the

Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Records are retrieved by name.

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS scientists and their authorized collaborators.

(2) Physical Safeguards: Records are kept in a locked room when not in use.

Retention and disposal: Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:

Director, Fundamental Neurosciences Program, NINCDS
Federal Building, Room 120
7550 Wisconsin Ave
Bethesda, MD 20205

Notification procedure: Write to:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47
9000 Rockville Pike
Bethesda, MD 20205

and ask if a file with your name exists in the Neural Prothesis or Biomedical Engineering Studies.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Patients, patients' families, hospital records and clinical investigators.

Systems exempted from certain provisions of the act: None.

09-25-0129

System name: Clinical Research: Clinical Research Studies dealing with Hearing, Speech, Language and Chemosensory Disorders. HHS/NIH/NINCDS.

Security classification: None.

System location:

National Institute of Neurological and Communicative Disorders and Stroke (NINCDS)
Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, MD 20205

and at hospitals, medical centers, universities and educational settings under contract. Inactive records may be stored at a Federal Records Center. A list of locations is available upon request from the System Manager at the address below.

Categories of individuals covered by the system: Patients and normal volunteers participating in clinical research studies dealing with hearing, speech, language and chemosensory disorders.

Categories of records in the system: Medical findings, clinical research data, medical and educational histories and research data on the hearing, speech, language, cognition and chemosensory systems of subjects being tested.

Authority for maintenance of the system: 42 U.S.C. 241, 289a, 289c.

Purpose(s): Clinical research on the disorders of speech, language, and hearing to discover factors leading to these disorders and to improve prevention, diagnoses, and treatment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

3. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: Name or identifier code.

Safeguards: (1) Employees who maintain the system are instructed to grant access only to the principal investigator and staff assigned to a particular project, and to other authorized personnel (project officer, contracting officer).

(2) Physical Safeguards: Records are locked in cabinets when not in actual use and system location is locked during non-working hours.

(3) Procedural Safeguards: Personnel having access to system are trained in Privacy Act requirements. Records are returned to locked file cabinets at end of working day.

Retention and disposal: Years at NIH: one year to indefinitely, depending on the requirements of the specific study. Following completion of a specific study all individual identification are removed, or the records destroyed.

System manager(s) and address:

Director, Communicative Disorders Program, NINCDS
Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, Md. 20205

Notification procedure: Write to:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47
9000 Rockville Pike
Bethesda, Maryland 20205

and ask if a file exists with your name in studies of Communication Disorders Program. Please supply the following information:

1. Approximate date and place of examination and/or treatment.
2. Name of the study, if known.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record, specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information provided by patients, patients' families, hospital records, school records, and clinical investigators.

Systems exempted from certain provisions of the act: None.

09-25-0130

System name: Clinical Research: Environmental Epidemiologic Studies in the Division of Cancer Cause and Prevention, HHS/NIH/NCI.

Security classification: None.

System location:

Landow Building, Room 3C07
7910 Woodmont Ave.
Bethesda, Md. 20205
and
Bldg. 12, NIH
9000 Rockville Pike
Bethesda, Md. 20205

and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating government agencies. A list of locations and contracts is available upon request from the System Manager.

Categories of individuals covered by the system: Patients with cancer and other environmentally caused diseases, (e.g., birth defects), patients with other diseases (e.g., heart disease), normal and other persons (e.g., family members) for the purpose of making comparisons.

Categories of records in the system: Medical records, progress reports, correspondence, epidemiological computerized data and records on biological specimens (e.g., blood, tumors, urine, etc.).

Authority for maintenance of the system: 42 U.S.C. 241, and 282.

Purpose(s): To determine: (1) factors or substances in the environment which cause cancer;
(2) ways in which these factors or substances may cause cancer;
(3) characteristics of persons who may be particularly susceptible to the environmental factor(s) or substance(s) and/or to cancer.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

3. The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

4. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, microfilm, charts, graphs, computer tapes, disks, and punch cards.

Retrievability: By name and/or code number.

Safeguards: HHS contractors and collaborating researchers are required to comply with the provisions of the Privacy Act and with Department Regulations. Subjects participating in a clinical study are advised that their identity will only be known to those who are involved in conducting the study and that any published findings will be in a format which precludes individual identification. Data are kept in secured areas with access limited to authorized personnel (system manager, project officer, contracting officer, collaborating researchers, staff, and HHS contractors). Data transmitted to the NCI are in a form which precludes individual identification. For computerized records the contractor is required to comply, where appropriate, with Department standards and National Bureau of Standards Guidelines. For example, access is controlled by the use of security codes known only to authorized personnel.

Retention and disposal: One year to indefinitely depending on the project. Hard copy burned; computer tapes and disks erased.

System manager(s) and address:

Chief, Environmental Epidemiology Branch
National Cancer Institute
Landow Building, Room 3C29
7910 Woodmont Avenue
Bethesda, Maryland 20205

Notification procedure: To determine if a file exists, write to system manager and provide the following information:

a. System name: Environmental Epidemiologic Studies in the Division of Cancer Cause and Prevention
b. Complete name at time of study
c. Facility and home address at the time the study was undertaken
d. Date(s) at the time the information was provided (if known)
e. Birthdate
f. Disease type (if known)

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to 5,000 dollar fine.

Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Write to system manager and specify the record sought. The same information required above for notification is also needed for access.

Contesting record procedures: Write to system manager and specify the record and the part(s) to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: HHS agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, research institutions, commercial institutions, state agencies, other U.S. Government agencies, patients and normal volunteers, physicians, research investigators and other collaborating personnel.

Systems exempted from certain provisions of the act: None.

09-25-0131

System name: Clinical Research: Clinical Epidemiologic Studies in the Division of Cancer Cause and Prevention, HHS/NIH/NCI.

Security classification: None.

System location: Building, Room A521

7910 Woodmont Ave.
Bethesda, Md. 20205
and
Bldg. 12, NIH
9000 Rockville Pike
Bethesda, Md. 20205

and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating government agencies. A list of locations and contracts is available upon request made to the System Manager.

Categories of individuals covered by the system: Patients with cancer and related diseases, (e.g., birth defects), patients with other diseases (e.g., heart disease), normal and other persons (e.g., family members) for the purpose of making comparisons.

Categories of records in the system: Medical records, progress reports, correspondence, epidemiological computerized data and records on biological specimens (e.g., blood, tumors, urine, etc.).

Authority for maintenance of the system: 42 U.S.C. 241, and 282.

Purpose(s): To determine: (1) factors or substances in the environment which cause cancer;

(2) ways in which these factors or substances may cause cancer;

(3) characteristics of persons who may be particularly susceptible to the environmental factor(s) or substance(s) and/or to cancer.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

3. The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

4. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, microfilm, charts, graphs, computer tapes, discs, and punch cards.

Retrievability: By name and/or code number.

Safeguards: HHS contractors and collaborating researchers are required to comply with the provisions of the Privacy Act and with Department Regulations. Subjects participating in a clinical study are advised that their identity will only be known to those who are involved in conducting the study and that any published findings will be in a format which precludes individual identification. Data are kept in secured areas with access limited to authorized personnel (system manager, project officer, contracting officer, collaborating researchers, staff, and HHS contractors). Data transmitted to the NCI are in a form which precludes individual identification. For computerized records the contractor is required to comply, where appropriate, with Department standards and National Bureau of Standards Guidelines. For example, access is controlled by the use of security codes known only to authorized personnel.

Retention and disposal: One year to indefinitely depending on the project. Hard copy burned; computer tapes and discs erased.

System manager(s) and address:

Chief, Clinical Epidemiology Branch
National Cancer Institute
Landow Building, Room 5A21
7910 Woodmont Avenue
Bethesda, Maryland 20205

Notification procedure: To determine if a file exists, write to system manager and provide the following information:

a. System name
b. Complete name at time of study
c. Facility and home address at the time the study was undertaken
d. Date(s) at the time the information was provided (if known)
e. Birthdate
f. Disease type (if known)

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Medical Records: Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Write to system manager and specify the record sought. The same information required above for notification is also needed for access

Contesting record procedures: Write to system manager and specify the record and the part(s) to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: HHS agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, research institutions, commercial institutions, state agencies, other U.S. Government agencies, patients and normal volunteers, physicians, research investigators and other collaborating personnel.

Systems exempted from certain provisions of the act: None.

09-25-0133

System name: Clinical Research: Kidney Transplant Histocompatibility Study (KTHS) HHS/NIH/NIAID.

Security classification: None.

System location: Records included in this system are located in hospitals, research foundations, and universities under contract, in Federal Records Centers and in the National Institute of Allergy and Infectious Diseases (NIAID) facilities in Bethesda, Md. Write to the system manager at the address below for the addresses of current locations.

Categories of individuals covered by the system: Patients who have received kidney transplants and donors of kidneys transplanted at participating institutions during the period January 1, 1974, through December 31, 1976.

Categories of records in the system: Clinical and medical records containing information on clinical examinations, laboratory findings, and related research records. For kidney recipients, a demographic profile is also included.

Authority for maintenance of the system: 42 U.S.C. 241(g) and 289c.

Purpose(s): (1) To study the relevance of tissue typing to the cat come of kidney transplants.

(2) To study the influence of organ preservation techniques and various surgical and medical therapies on the outcome of kidney transplants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

2. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

3. Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

4. Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

5. Certain infectious diseases are reported to State Governments as required by law.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, punched cards, and magnetic tapes or discs.

Retrievability: Information is retrieved by name and location of study and by transplant number.

Safeguards: 1. Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Genetics and Transplantation Biology Branch, Immunology and Allergic and Immunologic Diseases Program, NIAID.

2. Physical Safeguards: Records in this system are stored in locked cabinets. Access to the computer files is by key word.

3. Procedural Safeguards- Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee. For computerized records, access is controlled by the use of security codes known only to authorized users.

Retention and disposal: Records are retained for five years to indefinitely, depending on the requirements of the study. Records are burned or erased.

System manager(s) and address:

Chief, Genetics and Transplantation Biology Branch, IAIDP
National Institute of Allergy and Infectious Diseases, NIH
Westwood Building, Room 752
5333 Westbard Avenue
Bethesda, Maryland, 20205

Notification procedure: To determine if a record exists, write to:

Privacy Act Coordinator, NIAID
Westwood Building, Room 705
5333 Westbard Avenue
Bethesda, Maryland 20205

and provide the following information:

1. Full name
2. Name and location of clinical trial facility
3. Approximate dates of enrollment in the research study

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager, and reasonably identify the record, and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information contained in these records is obtained directly from individual participants and from medical records and clinical research observations.

Systems exempted from certain provisions of the act: None.

09-25-0134

System name: Clinical Research: Epidemiology Studies, National Institute of Environmental Health Sciences. HHS/NIH/NIEHS

Security classification: None.

System location:

National Institute of Environmental Health Services (NIEHS)
Environmental Biometry Branch
P. O. Box 12233
Research Triangle Park
North Carolina 27709

and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating government agencies. Inactive records may be stored in a Federal Records Center. A list of locations and contracts is available upon request made to the System Manager.

Categories of individuals covered by the system: Adults and minors, both male and female, with known or suspected diseases, maladies, chemical or biological contaminations, as well as normal or non-suspect individuals and minors in control or study groups for the purposes of comparison. Individuals included in this system of records normally have volunteered to participate in the study and voluntarily provided information for inclusion in the system. The participants may be, but are not limited to, patients; workers subject to specific environments; individuals selected because of accial, nutritional, physical, genetic and economic conditions and behavioral characteristics; and members of the general population subject to the variety of contaminants present in the environment.

Categories of records in the system: This system consists of a variety of records pertinent to an individual's current health status: medical history; occupational history and work environments; and selected items of personal data such as smoking habits, family size, family medical history and domiciles. Examples of information which may be included in this system are name, Social Security Number, date of birth, weight, height, sex, race, medical history, blood type, laboratory results, examination findings, current and previous medications received, list of employers, descriptions of the work environment, substances or compounds routinely handled or exposed to, and a history of current and previous residences.

Authority for maintenance of the system: 42U.S.C. 241.

Purpose(s): National Institute of Environmental Health Sciences uses the data collected to:

1. Determine whether or not general conditions, chemicals and/or other substances found in the environment have effects on the health and well being of individuals or groups of individuals;
2. Determine how these conditions, chemicals or other substances, acting by themselves or in combination, produce adverse effects on health;
3. Identify individual or group characteristics that make a person susceptible to chemical contamination, disease or other adverse health effects from these environmental conditions or agents ;
4. Determine whether there is a general or background level of exposure or other chemical effects in a local area, regional area, or nationally as well as within general or specific work environments;
5. Develop and/or validate epidemiologic or laboratory methods for detecting adverse effects due to environmental exposures;
6. Determine the scientific basis for advising regulatory agencies such as the Environmental Protection Agency, the National Institute of Occupational Safety and Health and the Department of Labor's Occupational Safety and Health Administration regarding the adverse health effects of substances and conditions found in the environment;
7. Determine the scientific basis for advising local, state, other governmental agencies and international governments regarding the adverse health effects of substances and conditions found in the environment;
8. Determine the scientific basis for advising the Congress, industry, workers, scientific or public agencies and other interested parties regarding the known orpotential for adverse health effects from exposure to substances or conditions found in the environment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclouure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

2. Disclosure may be made to a congressional office from the record of the individual in response to an inquiry from the congressional office, made at the request of the individual, and in the case of a minor, the minor's parent or legal guardian.

3. Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

4. In the event the Department deems if desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

5. Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from a mandatory disclosure, disclosure may be made from this system of records.

6. The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

7. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information is stored in one of a combination of the following mediums: file folders, data forms, punch card, magnetic tape discs.

Retrievability: Information is retrieved by personal identifier such as name or code number. Social security numbers which are supplied on a voluntary basis also are used for retrieval.

Safeguards: Access to the information is controlled by the Project Officer or his representative at remote locations. Contractors or collaborating researchers, by formal agreement, comply with the provisions of the Privacy Act and Department regulations. Hard copy data is maintained in locked file cabinets at the National Institute of Environmental Health Sciences or remote study locations. Information stored in computer systems is accessible only through proper sequencing of signal commands and access codes specifically assigned to the Project Officer or contractor in accordance with Departmental standards and National Bureau of Standards guidelines. Subjects directly participating in studies are advised that their identity is known only to those persons involved in conducting the study, and that any published findings will be in a format which precludes individual identification.

Retention and disposal: The records are maintained until they are no longer required for the research purpose(s) for which the record was established. The records are destroyed by shredding, burning, or other appropriate means so as to render them illegible. Computer tapes and discs are erased.

System manager(s) and address:

Chief, Biometry Branch
National Institute of Environmental Health Sciences
P. O. Box 12233
Research Triangle Park
North Carolina 27709

Notification procedure: Normally, individuals would know whether a file existed on the basis of their voluntary participation and provision of data. However, individuals may write to the system manager to determine if a file exists. In writing, they should provide the following data:

a. Complete name at the time of the study.
b. Birthdate.
c. Home address at the time of the study.
d. The facility where the examination was given or information otherwise collected.
e. Date, or approximate dates when information was collected or an examination conducted.
f. Name of study if known.
g. A current name, address and telephone number where they can be reached.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical or dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's description.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: The same information as outlined under notification procedures is needed for access to records. The request should be addressed to the System Manager.

Contesting record procedures: Write to the System Manager and specify the record and the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: HHS agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, commercial, institutions, labor and trade organizations, State agencies, international agencies, foreign governments, other U.S. Government agencies, patients and normal volunteers, physicians, researchers and other collaborating personnel.

Systems exempted from certain provisions of the act: None.

09-25-0135

System name: Grants: PROPHET System Applicants Research Prospectuses. HHS/NIH/DRR.

Security classification: None.

System location:

Bldg. 31, Rm. 6A06, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

Categories of individuals covered by the system: Applicants for access to the facilities and services of the PROPHET System, a unique national computer resource for the study of chemical/biological interrelationships.

Categories of records in the system: (a) descriptions of the research objectives of the applicant individuals or groups and their plans for use of the PROPHET system in support of their research; (b) biographical sketches of all key individuals associated with the prospectuses; (c) evaluation documents; (d) related correspondence

Authority for maintenance of the system: 42 U.S.C. 241(a)

Purpose(s): The system is used exclusively in support of the Chemical/Biological Information-Handling (CBIH) program management--i.e., technical merit review of prospectuses, allocation of PROPHET services, analysis and evaluation of ongoing activities, and program planning.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made:

1. Of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

2. To the Cognizant Audit Agency for auditing.

3. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

4. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

5. To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process.

6. To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

7. A record may be disclosed for a research purpose, when the Department:

(A)has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B)has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C)has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earlies time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D)has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

8. To a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in a system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

9. To the grantee institution in connection with performance or administration under the terms and conditions of the award.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: System is indexed by name of principal individual associated with the prospectus and by program identification number.

Safeguards: The records are maintained in cabinets in the office of the Program Director, CBIH. Access is limited to authorized personnel, i.e., system manager and staff, and review committee members.

Retention and disposal: Number of years held at NIH: 2 Disposal methods include burning or shredding paper materials.

System manager(s) and address:

Program Director
Chemical/Biological Information-Handling Program
Division of Research Resources
Bldg. 31, Rm. 6A-04
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to the Program Director, Chemical/Biological Information-Handling Program at address listed above and ask if a file exists with your name in the PROPHET System Research Prospectuses.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record, specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: The information is provided by the individuals themselves and by NIH consultants who assess the scientific and technical merit of the prospectuses.

Systems exempted from certain provisions of the act: None.

09-25-0137

System name: Administration: Medical Library Management Intern Program, HHS/NIH/NLM.

Security classification: None.

System location:

Council on Library Resources
One Dupont Circle, NW
Suite 620
Washington, D.C. 20036

Categories of individuals covered by the system: Persons applying for admission to the Medical Library Management Intern Program.

Categories of records in the system: Qualifications statements based on education, experience, and training; evaluations; correspondence; references; and the panel recommendations.

Authority for maintenance of the system: 42 U.S.C. 276(a)(6); 42 U.S.C. 280b(b)(1).

Purpose(s): To determine the eligibility and desirability of applicants to the intern program. The applications are reviewed by a panel of experts selected by the contractor.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a panel of non-Federal Employees for the purpose of evaluating the applicants.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders.

Retrievability: By name or code number.

Safeguards: The HHS contractor will comply with the provisions of the Privacy Act and with Department Regulations. Data are kept in secured areas with access limited to authorized personnel.

Retention and disposal: Files of unsuccessful applicants are retained for not more than one year, then destroyed. Those of successful candidates may be maintained for up to three years.

System manager(s) and address:

Project Officer
Medical Library Management Intern Program
Office of Extramural Programs
National Library of Medicine, Federal Building
Building 38A, Room 5S520
8600 Rockville Pike
Bethesda, Md. 20209

Notification procedure: Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Written requests should be made to the System Manager and provide the same information as is required under the Notification Procedures below.

Contesting record procedures: Write to System Manager and specify the record and the part(s) to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Applicant and applicant's personal references.

Systems exempted from certain provisions of the act: None.

09-25-0138

System name: Biomedical Research: Studies of Possible Influence on Cognitive and Emotional Development of Children, HHS/NIH/NICHD

Security classification: None.

System location:

National Institute of Child Health and Human Development
Bldg. 31, Room B2B15
9000 Rockville Pike
Bethesda, Maryland 20205

NIH
Bldg. 12
9000 Rockville Pike
Bethesda, Maryland 20205

Categories of individuals covered by the system: Adults and their children who have specifically agreed to participate in studies of the Social and Behavioral Sciences Branch.

Categories of records in the system: Psychological tests, observations and parental responses to questionnaires and interviews regarding various aspects of the child's development.

Authority for maintenance of the system: 42 USC 241, 289d.

Purpose(s): To determine (1) prenatal and paranatal correlates of later development; (2) possible environmental influences on later development; (3) stability of development; and (4) possible early predictors of later cognitive and emotional difficulties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. Certain infectious diseases are reported to state governments as required by law.

3. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, microfiche, computer tapes and discs.

Retrievability: Identifier codes

Safeguards: (1) Authorized Users: Employees who maintain records in this system are instructed to grant regular access to scientists and support staff of the Child and Family Research Branch, NICHD.

(2) Physical Safeguards: All records are kept in locked cabinets.

(3) Procedural Safeguards: Records may be removed from files only at the request of the system manager or other authorized users. For computerized records, access is controlled by the use of security codes known only to authorized users.

Retention and disposal: One year to five years depending on the study. Hard copy shredded; computer tapes and discs erased.

System manager(s) and address:

Chief, Child and Family Research Branch
National Institute of Child Health and Human Development
Bldg. 31, Room B2B15
9000 Rockville Pike
Bethesda, Maryland 20205

Notification procedure: To determine if a file exists, write to system manager and provide the following information:

a. System name as below,
b. Complete name at time of study
c. Home address at time the study was undertaken
d. Date(s) at the time information was provided (if known)
e. Birth date

An individual who requests notification of or access to a medical record shall at the time the request is made designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of or access to a child's/incompetent person's record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child/incompetent person as well as his/her own identity.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Information provided by subjects, family, and clinical investigators.

Systems exempted from certain provisions of the act: None.

09-25-0140

System name: International Activities: Scientific Visitors at the National Institutes of Health, HHS/NIH/FIC

Security classification: None.

System location:

Fogarty International Center
Building 16
and
Division of Computer Research and Technology
Building 12
National Institutes of Health
9000 Rockville Pike
Bethesda, Maryland 20205

Ancillary records are located in laboratories where participants are assigned. Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

Categories of individuals covered by the system: Health scientists (mainly foreign but some resident aliens and US citizens) at all levels of their postdoctoral careers who are invited to the National Institutes of Health campus for further training or to conduct research in their biomedical specialties.

Categories of records in the system: History of fellowship, employment and/or stay at NIH; education and references. For payroll purposes, social security numbers are requested of all applicants accepted into the program.

Authority for maintenance of the system: 42 U.S.C. 2421.

Purpose(s): The program was established to facilitate the exchange of ideas among scientists at all levels of their postdoctoral research careers who spend from one to three years in the laboratories of NIH campus. Invitations are extended by the Directors of the institutes and other PHS agencies (FDA, ADAMHA).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Information is made available to authorized employees and agents of the US, including the General Accounting Office, for purposes of investigations, inspections and audits, and in appropriate cases, to the Department of Justice for prosecution under civil and criminal laws.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

3. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on file cards, magnetic tape and microfilm.

Retrievability: By name and country of citizenship.

Safeguards: (1) Authorized Users. Employees who maintain records in this system are instructed to grant regular access only to FIC program staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

(2) Physical Safeguards. The records are maintained in locked file cabinets, and offices are locked during off-duty hours.

(3) Procedural Safeguards. Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employees. For computer-

ized records, access is controlled by the use of security codes known only to authorized users; access codes are changed periodically. The computer system maintains an audit record of all requests for access.

Retention and disposal: Records of successful applicants are retained indefinitely.

System manager(s) and address:
Chief, International Visitors Center
Fogarty International Center
Building 16, Room 202A
National Institutes of Health
9000 Rockville Pike
Bethesda, Maryland 20205

Notification procedure: Requests for notification of or access to records should be addressed to the system manager as listed above. Verification of identity is required.

Record access procedures: Same as notification procedure. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official listed under notification procedure above, and reasonably identify the record, and specify the information to be contested, and state the corrective action sought and the reasons for the correction.

Record source categories: Applicants and persons supplying references.

Systems exempted from certain provisions of the act: None.

09-25-0141

System name: Patient and Donor Records in the Blood Component Support Program for the Division of Cancer Treatment, HHS/NIH/NCI.

Security classification: None.

System location:
Clinical Center
Room 3B-15, Building 10
National Institutes of Health (NIH)
9000 Rockville Pike
Bethesda, MD 20205.

Plateletpheresis Trailer, NIH Reservation
9000 Rockville Pike
Bethesda, MD 20205.

NIH Computer Center
Building 12
9000 Rockville Pike
Bethesda, MD 20205.

UCLA Computer System
University of California, Los Angeles
1000 Veteran Avenue
Los Angeles, CA 90024.

Categories of individuals covered by the system: Patients with cancer and normal volunteers with compatible HL-A blood types.

Categories of records in the system: Blood cell types, donor and patient names, dates of sample collections, hospital numbers (i.e. NIH patient numbers), reaction notes and compatibility evaluation, sera.

Authority for maintenance of the system: Section 301, 401, PHS Act (42 U.S. Code 241, 282).

Purpose(s): This system provides for serological matching of blood platelets between donor blood and that of cancer patients treated with cytotoxic drugs. These drugs depress normal blood elements, including platelets. Infusion of platelets from normal donors prevents life-threatening hemorrhage.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to HHS contractors and collaborating researchers and their staffs for uses consistent with the purpose of this system of records. The recipients are required to protect such records from improper disclosure.

Disclosure may be made to a Congressional Office from the record of an individual in response to an inquiry from the Congressional Office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cards, computer tapes.

Retrievability: Donor names are retrieved by HL-A type, which is also listed for each patient. Patient records are retrieved by name or patient identification number.

Safeguards: The identity of subjects participating in a clinical study is known only to those who are involved in conducting the study, and any published findings will be in a format which precludes individual identification.

Data are kept in secured areas with access limited to authorized personnel. Authorized users of the system include the Community Blood and Plasma Service's site manager or designate, the NCI project officer or designate, and principal investigator or designate at the University of California, Los Angeles, in whose laboratory all HL-A typings are performed and whose laboratory maintains and generates a computer file.

Textual records are in locked containers. For computerized records, where appropriate, access is controlled by the use of security codes known only to authorized personnel; computer terminals are locked; access codes are changed frequently.

Retention and disposal: Records are retained and disposed if in accordance with NIH records controls schedule, items 3000-E-36, 3000-E-50 and 3000-E-51 (HHS Records Management Manual, Appendix B-361). A copy of the records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address:
Head, Experimental Hematology Section Pediatric Oncology Branch,
Division of Cancer Treatment
National Cancer Institute, NIH
Room 3B-15, Building 10
9000 Rockville Pike
Bethesda, MD 20205.

Notification procedure: To determine if a record exists write to system manager and provide following information:

a. System Name: Blood Component Support Program for the DCT, NCI.
b. Complete name at time of study/donation.
c. Facility and home address at time the study was undertaken.
d. Date(s) at the time the information was provided.
e. Birthdate.
f. Disease type (if applicable).

(1) Non-medical Records: Write to the System Manager and provide identity verification consisting of either a notarization of the request or a certification that the individual is who he or she claims to be, and understands that the knowing and willful request for acquisition of a record pertaining to the individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

(2) Medical Records: In addition to the information requested above, individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual who would be willing to review the record and inform the subject individual of its contents, at therepresentative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the system manager at the address below, specify the information being contested, and state the corrective action sought and the reasons for the correction.

Record source categories: HHS agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, research institutions, commercial institutions, state agencies, other U.S. Government agencies, patients and blood donors, physicians, research investigators and other collaborating personnel.

Systems exempted from certain provisions of the act: None.

09-25-0142

System name: Clinical Research: Records of Subjects in Intramural Research, Epidemiology, Demography and Biometry Studies on Aging, HHS/NIH/NIA.

Security classification: None.

System location: Records included in this system will be located in hospitals and clinics, research centers and research foundations, and in facilities of the National Institute on Aging (NIA) in Bethesda, MD. They may be stored at Federal Records Centers. A list of locations is available upon request from the System Manager.

Categories of individuals covered by the system: Participants in these studies will include: (1) individuals whose physical, genetic, social, psychological, cultural, economic, environmental, behavioral, pharmacological, or nutritional conditions or habits are studied in relationship to the normal aging process and/or diseases and other normal or abnormal physical or psychological conditions of the aged, and (2) normal volunteers who are participants in such studies.

Categories of records in the system: This system will consist of a variety of health, demographic, and statistical information resulting from or contained in research findings, medical histories, vital statistics, personal interviews, questionnaires, or direct observations. The system will also include records of current addresses of study participants, fingerprints, and correspondence from or about participants in the studies. When supplied on a voluntary basis, Social Security numbers will also be included.

Authority for maintenance of the system: Authority is provided by Sections 301, Research Contracting, and 463-4, Research on Aging Act of 1974, of the Public Health Service Act (42 U.S.C. Sections 241g, 289k-4, k-5).

Purpose(s): The National Institute on Aging will use the data collected

1. in research projects on (a) the health status of individuals and changes in health status over time, (b) the incidence and prevalence of certain diseases and problems of the aged in certain populations, and (c) the changes that take place as individuals age;
2. and for program planning and evaluation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Records may be disclosed to HHS contractors, collaborating researchers and their staffs in order to accomplish the basic research purpose of this system. The recipients will be required to maintain Privacy Act safeguards with respect to such records.

2. Data may be disclosed to orgarizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review.

3. A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safequards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earlies time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

4. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

5. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

6. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored in file folders, magnetic tapes or discs, punched cards, or bound notebooks. Stored data may include textual, photographic, X-ray, or other material.

Retrievability: Information will be retrieved by personal identifiers such as name, code number and/or Social Security number, when this is supplied on a voluntary basis.

Safeguards: Measures to prevent unauthorized disclosures are implemented as appropriate for each location and for the particular records maintained in each project. Each site implements personnel, physical and procedural safeguards such as the following:

(1)Authorized Users: Access will be limited to principal investigators, collaborating researchers and necessary support staff.

(2)Physical Safeguards: Hard copy data will be maintained in locked file cabinets. Information stored in computer systems will be accessible only through proper sequencing of signal commands and access codes specifically assigned to the Project Officer or contractor.

(3)Procedural Safeguards: Access to the information will be controlled directly by the Project Officer or his or her representative at remote locations, and by the system manager at NIA locations. Contractors and collaborating researchers will be notified that they are subject to the provisions of the Privacy Act, and will be required to make formal agreements to comply with these provisions.The particular safeguards implemented in each project are developed in accordance with chapter 45-13 and supplementing chapter PHS hf 45-13 of the HHS General Administration Manual and part 6, ADP Systems Security, of the HHS ADP Systems Manual, and the National Bureau of Standards Federal Information Processing Standards (FIPS Pub. 41 and FIPS Pub. 31).

Retention and disposal: Records at contractor facilities will be retained and disposed of under the specific terms established in each contract. Records at NIA facilities will be retained and disposed of under the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361, item 3000-G-3). Write to system manager for a copy of the authorized disposition.

System manager(s) and address:

Privacy Act Coordinator
National Institute on Aging
Building 31, NIH
9000 Rockville Pike
Bethesda, MD 20205

Notification procedure: To determine if a record exists, write to the System Manager at the address below and provide the following information in writing:

1. Full name at time of participation in the study,
2. Date of birth,
3. Home address at the time of study,
4. The facility where the examination was given or where information was collected,
5. Approximate date or dates of participation,
6. Name of study, if known,
7. Current name, address and telephone number.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical or dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's description.

Record access procedures: Contact the system manager at the above address and provide the same information as outlined under the notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the System Manager at the address below. The contestor must reasonably identify the record, specify in writing the information being contested, and state the corrective action sought and the reasons for the correctionand the reasons for the correction.

Record source categories: Information will be obtained directly from individual participants and from medical and clinical research observations, or indirectly from existing source documents such as disease registries.

Systems exempted from certain provisions of the act: None.

09-25-0143

System name: Biomedical Research: Records of Subjects in Clinical, Epidemiologic and Biometric Studies of the National Institute of Allergy and Infectious Diseases, HHS/NIH/NIAID.

Security classification: None

System location: At National Institutes of Health facilities in Bethesda, Maryland, and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating Federal agencies. Inactive records may be retired to Federal Records Centers. A list of locations is available upon request from the System Manager.

Categories of individuals covered by the system: Patients with infectious diseases, immunologic diseases involving adverse reactions of the body (e.g. allergic reactions) and related diseases, normal healthy volunteers who serve as controls for comparison with patients, relatives of patients and other individuals whose characteristics or conditions are being studied for possible connections with the occurrence of the diseases under investigation.

Categories of records in the system: This system consists of a variety of clinical, medical, and epidemiological information resulting from or contained in direct observations, medical records and other histories, vital statistics reports, records on biological specimens (e.g., blood, urine, etc.), personal interviews, questionnaires, progress reports, correspondence or research findings.

Authority for maintenance of the system: Sections 301, Research and Investigation, and 431, Establishment of Institutes, of the Public Health Service Act (42 U.S.C 241, 289a).

Purpose(s): This system will be used to support

1. Epidemiologic, clinical and biometric investigations into the causes, nature (morbidity and mortality), outcome, therapy and cost of infectious, immunologic and related diseases;

2. Review and evaluation of the progress of these research projects, and identification of and planning for improvements or for additional research.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

2. Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

3. A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

4. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice.

5. The Department contemplates that it may contract with one or more private firms for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to maintain Privacy Act safeguards with respect to such records.

6. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

7. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored in file folders, computer-accessible forms (e.g. tapes or discs), punched cards, bound notebooks, microfilm, charts, graphs, and X-rays.

Retrievability: Information is retrieved by name and/or participant identification number.

Safeguards: Access to or disclosure of information is limited to collaborating researchers, contractors and NIAID employees who are involved in the conduct, support or review and evaluation of the research activities supported by this system. Contractors and collaborating researchers are required to comply with the provisions of the Privacy Act and with Department regulations.

Data are kept in secured areas (e.g. rooms which are locked when not in regular use, buildings with controlled access). Data stored in computer-accessible form is accessed through the use of key words known only to principal investigators or authorized personnel; all other information is stored in locked files.

These and other appropriate safeguards are implemented in each project in accordance with chapter 45-13 of the HHS General Administration Manual, supplementary chapter PHS hf. 45-13, and part 6, Systems Security, of the HHS ADP Systems Manual.

Retention and disposal: Records at contractor facilities are retained and destroyed according to the terms of the contract. Records at NIAID facilities are retained and destroyed in accordance with the authority provided in the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), item 3000-G-3, which allows the records to be kept until the system manager determines that the data has no further value for scientific research. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

System manager(s) and address:

Chief, Epidemiology and Biometry Section
National Institute of Allergy and Infectious Diseases
Westwood Building, Room 739
Bethesda, Maryland 20205

Notification procedure: To determine if a record exists, write to

NIAID Privacy Act Coordinator
Room 705, Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

and provide the following information:

1. System name,
2. Complete name and home address at the time of the study,
3. Birthdate,
4. Facility conducting study,
5. Disease type (if known),
6. Approximate dates of enrollment in the research study.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to 5,000 dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, other health professional, or other responsible individual, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the system manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction.

Record source categories: Information contained in these records is obtained directly from individual participants, from physicians, research investigators and other collaborating persons and from medical records and clinical research observations at hospitals, HHS agencies, universities, medical schools, research institutions, commercial institutions, state agencies, collaborating Federal agencies.

Systems exempted from certain provisions of the act: None.

09–25–0147

System Name: Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Heart, Lung and Blood Institute, HHS/NIH/NHLBI.

Security Classification: None

System Location: Records in this system are located in National Institutes of Health (NIH) facilities in Bethesda, Maryland, or in facilities of contractors of the National Heart, Lung and Blood Institute (NHLBI). Inactive records may be retired to Federal Records Centers. The address of the NIH office responsible for records in this system is that of the System Manager listed below. The addresses of current locations at contractor sites and Federal Records Centers may be obtained by writing to the System Manager.

Categories of Individuals Covered by the System: Individuals covered by the system may include (1) patients of NHLBI or in NHLBI-sponsored programs, (2) participants in research studies supported by NHLBI, (3) recipients of grants, fellowships, traineeships or other awards from NHBI, (4) employees and consultants, (5) persons, such as researchers, health care professionals or patients, who use, receive or are aware of NHLBI programs and services, and (6) members of health professions or of the general public who provide opinions or suggestions for evaluating NHLBI programs and services.

Categories of Records in the System: This system consists of different sets of records used in evaluating different programs of the Institute. The type of data in any set of records depends on the scope of the particular evaluation study. As appropriate to the particular study, the data consists of two general types of information: (1) information identifying subject individuals, and (2) information which enables the institute to evaluate its programs and services.

(1) Identifying information usually consists of a name and address, but it might also include a patient identification number, grant number, Social Security Number, or other identifying number as appropriate to the particular group included in an evaluation study.

(2) Evaluative information varies according to the program which is being evaluated by a given study. Categories of evaluative information include personal and medical data on participants in clinical and research programs; publications, professional achievements and career history of employees, consultants and recipients of awards; and opinions and other information received directly from individuals in surveys and studies of NIH programs.

Authority for Maintenance of the System: Authority for this system comes from the basic legislation which defines the mission of the National Heart, Lung and Blood Institute (42 U.S.C. 229b, 241, 242*l*, 287 to 287*l*, 289*l*–1 to 289*l*–4).

Purpose of the System: This system supports evaluation of the methods, materials, activities and sevices used by NIH in fulfilling its legislated mandate to conduct and support biomedical research into the causes, prevention and cure of diseases, to support training of research investigators, and to support communication of biomedical information.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses:

1. Disclosure may be made to HHS contractors and collaborating researchers, organizations, and state and local officials for the purpose of improving the effectiveness of NIH programs. The recipients will be required to protect the confidentiality of such records.

2. The Department contemplates that it may contract with one or more private firms for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to maintain Privacy Act safeguards with respect to such records.

3. Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

4. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice.

5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored in file folders, bound notebooks, or computer-accessible forms (e.g. tapes, discs or punched cards).

Retrievability: Records are retrieved by name or identification number. However, sets of records are maintained separately for each evaluation study. There is no filing or retrieval system or list which covers all the sets of records in this system. Retrieval capability is limited to the particular evaluation study in which the records are used.

Safeguards: A variety of safeguards is implemented for the various sets of records included under this system according to the sensitivity of the data they contain. Information already in the public domain, such as titles and dates of publications, is not restricted. However, sensitive information such as personal or medical history or individually identified opinions, is protected according to the level of sensitivity of the data. Minimal safeguards for the protection of information which is not available to the general public include:

(1) *Authorized Users:* Regular access to information is limited to NIH or to contractor employees and collaborating researchers who are conducting, reviewing or contributing to the evaluation study. Other special access is granted only on a case-by-case basis, consistent with the restrictions required by the Privacy Act (e.g., when disclosure is required by the Freedom of Information Act), as authorized by the System Manager or designated responsible official.

(2) *Physical Safeguards:* Records are stored in closed or locked containers, in areas which are not accessible to unauthorized users, and in facilities which are locked when not in use.

(3) *Procedural Safeguards:* Access to records is controlled by responsible employees and is granted only to authorized individuals whose identities are properly verified. Data stored in computers is accessed only through the use of key words known only to authorized personnel.

In addition, sensitive records are kept in locked metal filing cabinets or in a secured room or closed containers at all times when not in use; sensitive records are not left exposed to unauthorized persons at any time.

These practices are in compliance with the standards of chapter 45–13 of the HHS General Administration Manual, supplementary chapter PHS hf: 45–13, and Part 6, Systems Security, of the HHS ADP Systems Manual.

Retention and Disposal: While reports, statistical compilations and final recommendations derived from the evaluation studies are permanent records which will be offered to the National Archives when 22 years old, individually identified records are kept for five years and then destroyed under the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B–361), item 1100–C–12. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

System Manager and Address:

Director, Office of Program Planning and Evaluation, Building 31, Room 5A03, National Heart, Lung and Blood Institute (NHLBI), Bethesda, Maryland 20205.

Notification Procedure: To determine if a record exists, write to: NHLBI Privacy Act Coordinator, Building 31, Room 5A29, National Institutes of Health, Bethesda, MD 20016.

Requesters must provide the following information:

1. Full name.

2. Name and location of the evaluation study or other NHLBI program in which the requester participated.

3. Approximate dates of participation.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a 5,000 dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, other health professional, or other responsible individual, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the System Manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction.

Record source categories: Information contained in these records is obtained directly from individual participants, from other records maintained by the operating programs of NHLBI, its contractors, grantees or collaborating researchers, or from publicly available sources such as bibliographies.

Systems exempted from certain provisions of the Act: None.

09-25-0148

System name: Contracted and Contract-Related Research: Records of Subjects in Clinical, Epidemiological and Biomedical Studies of the National Insitute of Neurological and Communicative Disorders and Stroke, HHS/NIH/NINCDS.

Security classification: None.

System location: At National Institutes of Health facilities in Bethesda, Maryland, and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating Federal agencies. Inactive records may be retired to Federal Records Centers. A list of locations is available upon request from the respective System Managers of the subsystems included in this notice.

Categories of individuals covered by the system: Patients with neurological diseases, communicative disorders, stroke, and related diseases; normal, healthy volunteers who serve as controls for comparison with patients; relatives of patients; and other individuals whose characteristics or conditions are suited for possible connections with the occurrence of the diseases under investigations. Subject individuals include both adults and children.

Categories of records in the system: This system consists of a variety of clinical, biomedical, and epidemiological information resulting from or contained in direct observations, medical records and other histories, vital statistics reports, records on biological specimens (e.g., blood, urine, etc.), personal interviews, questionnaires, progress reports, correspondence, or research findings.

Authority for maintenance of the system: Sections 241, Research and Investigation, and 289a, Establishment of Institutes, of the Public Health Service Act (42 U.S.C. 301, 431).

Purpose of the system: This system will be used to support

(1) contracted and contract-related epidemiological, clinical and biometric investigations into the causes, nature, outcome, therapy, prevention and cost of neurologocal and communicative disorders and stroke;

(2) review and evaluation of the progress of these research projects, and identification and planning for improvements or for additional research.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses:

1. Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to protect such records from improper disclosure.

2. Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

3. A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identifed is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

4. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice.

5. The Department contemplates that it may contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to maintain Privacy Act safeguards with respect to such records.

6. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

7. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored in file folders, computer-accessible forms (e.g. tapes or discs), punched cards, bound notebooks, microfilm, charts, graphs and X-rays.

Retrievability: Information is retrieved by name and/or patient identification number.

Safeguards: Access to or disclosure of information is limited to collaborating researchers, contractors and employees, and other authorized biomedical researchers who are involved in the conduct, support or review and evaluation of the research activities supported by this system. Contractors and collaborating or other researchers are required to comply with the provisions of the Privacy Act and with HHS Privacy Act regulations.

Data are kept in secured areas (e.g. rooms which are locked when not in regular use, buildings with controlled access). Data stored in computer-accessible form is accessed through the use of key words known only to principal investigators or authorized personnel; all other information is stored in locked files.

These and other appropriate safeguards are implemented in each project in accordnace with chapter 45-13 of the HHS General Administration Manual, supplementary chapter PHS hf. 45-13, and Part 6, Systems Security, of the HHS ADP Systems Manual.

Retention and disposal: Records at contractor facilities are retained and destroyed as specified in individual contracts. Records at NIH facilities are retained and destroyed in accordance with the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), item 3000-G-3, which allows the records to be kept until the system manager determines that the data has no further value for scientific research. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

System Managers and Addresses: NINCDS research activities are divided, functionally and administratively, into five programs and one office. In effect, there are six subsystems within this single umbrella system. System Managers have been designated for each subsystem as follows:

Chief, Office of Biometry and Field Studies, Federal Building, Room 7A12, 7550 Wisconsin Avenue, Bethesda, MD 20205.

Director, Communicative Disorders Program, Federal Building, Room 1C11, 7550 Wisconsin Avenue, Bethesda, MD 20205.

Director, Fundamental Neurosciences Program, Federal Building, Room 916, 7550 Wisconsin Avenue, Bethesda, MD 20205.

Director, Neurological Disorders Program, Federal Building, Room 716, 7550 Wisconsin Avenue, Bethesda, MD 20205.

Director, Stroke and Trauma Program, Federal Building, Room 8A08, 7550 Wisconsin Avenue, Bethesda, MD 20205.

Director, Intramural Research Program, NIH Building 36, Room 5A05, 9000 Rockville Pike, Bethesda, MD 20205.

Notification procedure: To determine if a record exists, write to: NINCDS Privacy Act Coordinator, Federal Building, Room 816, 7550 Wisconsin Avenue, Bethesda, MD 20205, and provide the following information:

1. system name,
2. complete name and home address at the time of the study,
3. birthdate,
4. facility conducting the study,
5. disease type (if known),
6. approximate dates of enrollment in the research study.

The requester must also verify his or her identity by providng either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a 5,000 dollar fine.

Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual, who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

Record access procedure: Same as notifications procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedure: Write to the system manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction.

Record source categories: Information in these records is obtained directly from individual participants, and from physicians, research investigators and other collaborating persons, and from medical records and clinical research observations at hospitals, HHS agencies, universities, medical schools, research institutions, commercial institutions, state agencies, and collaborating Federal agencies.

Systems exempted from certain provisions of the Act: None.

09-25-0149

System Name: Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Institute of General Medical Sciences, HHS/NIH/NIGMS.

Security Classification: None.

System Location: Records in this system are located in National Institutes of Health (NIH) facilities in Bethesda, Maryland, or in facilities of contractors of the National Institute of General Medical Sciences (NIGMS). Inactive records may be retired to Federal Records Centers. The address of the NIH office responsible for records in this system is that of the System Manager listed below. The addresses of current locations at contractor sites and Federal Records Centers may be obtained by writing to the System Manager.

Categories of Individuals Covered by the System: Individuals covered by the system may include (1) patients of NIGMS or in NIGMS-sponsored programs, (2) participants in research studies supported by NIGMS, (3) recipients of grants, fellowships, traineeships or other awards from NIGMS, (4) employees and consultants, (5) persons, such as researchers, health care professionals or patients, who use, receive or are aware of NIGMS programs and services, and (6) members of health professions or of the general public who provide opinions or suggestions for evaluating NIGMS programs and services.

Categories of Records in the System: This system consists of different sets of records used in evaluating different programs of the Institute. the type of data in any set of records depends on the scope of the particular evaluation study. As appropriate to the particular study, the data consists of two general types of information: (1) information identifying subject individuals, and (2) information which enables the institute to evaluate its programs and services.

(1) Identifying information usually consists of a name and address, but it might also include a patient indentification number, grant number, Social Security Number, or other identifying number as appropriate to the particular group included in an evaluation study.

(2) Evaluative information varies according to the program which is being evaluated by a given study. Categories of evaluative information include personal and medical data on participants in clinical and research programs; publications, professional achievements and career history of employees, consultants and recipients of awards; and opinions and other information recieved directly from individuals in surveys and studies of NIH programs.

Authority for Maintenance of the System: Authority for this system comes from the basic legislation which defines the mission of the National Institute of General Medical Sciences (42 U.S.C. 229b, 241, 242*l*, 289e, 289g, 289*l*–1 to 289*l*–4, 300b–1, 300d–21).

Purpose of the System: This system supports evaluation of the methods, materials, activities and services used by NIH in fulfilling its legislated mandate to conduct and support biomedical research into the causes, prevention and cure of diseases, to support training of research investigators, and to support communication of biomedical information.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses:

1. Disclosure may be made to HHS contractors and collaborating researchers, organizations, and state and local officials for the purpose of improving the effectiveness of NIH programs. The recipients will be required to protect the confidentiality of these records.

2. The Department contemplates that it may contract with one or more private firms for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to maintain Privacy Act safeguards with respect to such records.

3. Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

4. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice.

5. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored in file folders, bound notebooks, or computer-accessible forms (e.g. tapes, discs or punched cards).

Retrievability: Records are retrieved by name or identification number. However, sets of records are maintained separately for each evaluation study. There is no filing or retrieval system or list which covers all the sets of records in this system. Retrieval capability is limited to the particular evaluation study in which the records are used.

Safeguards: A variety of safeguards is implemented for the various sets of records included under this system according to the sensitivity of the data they contain. Information already in the public domain, such as titles and dates of publications, is not restricted. However, sensitive information such as personal or medical history or individually identified opinions, is protected according to the level of sensitivity of the data.

Minimal safeguards for the protection of information which is not available to the general public include:

(1) *Authorized Users:* Regular access to information is limited to NIH or to contractor employees and collaborating researchers who are conducting, reviewing or contributing to the evaluation study. Other special access is granted only on a case-by-case basis, consistent with the restrictions required by the Privacy Act (e.g., when disclosure is required by the Freedom of Information Act), as authorized by the System Manager or designated responsible official.

(2) *Physical Safeguards:* Records are stored in closed or locked containers, in areas which are not accessible to unauthorized users, and in facilities which are locked when not in use.

(2) *Procedural Safeguards:* Access to records is controlled by responsible employees and is granted only to authorized individuals whose identities are properly verified. Data stored in computers is accessed only through the use of key words known only to authorized personnel.

In addition, sensitive records are kept in locked metal filing cabinets or in a secured room or closed containers at all times when not in use; sensitive records are not left exposed to unauthorized persons at any time.

These practices are in compliance with the standards of chapter 45-13 of the HHS General Administration Manual, supplementary chapter PHS hf: 45-13, and Part 6, Systems Security, of the HHS ADP Systems Manual.

Retention and Disposal: While reports, statistical compilations and final recommendations derived from the evaluation studies are permanent records which will be offered to the National Archives when 22 years old, individually identified records are kept for five years and then destroyed under the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), item 1100-C-12. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

System Manager and Address:

Chief, Office of Program Analysis, National Institute of General Medical Sciences (NIGMS), Westwood Building 9A18, Bethesda, MD 20016.

Health Science Administrator, Cellular and Molecular Basis of Disease Program, National Institute of General Medical Sciences (NIGMS), Westwood Building, Room 907, Bethesda, Maryland 20205.

Notification Procedure: To determine if a record exists, write to: NIGMS Privacy Act Coordinator, Westwood Building, Room 9A10, National Institutes of Health, Bethesda, MD 20016.

Requesters must provide the following information:

1. Full name.
2. Name and location of the evaluation study or other NIGMS program in which the requester participated.
3. Approximate dates of participation.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a 5,000 dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, other health professional, or other responsible individual, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the System Manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction.

Record source categories: Information contained in these records is obtained directly from individual participants, from other records maintained by the operating programs of NIGMS, its contractors, grantees or collaborating researchers, or from publicly available sources such as bibliographies.

Systems exempted from certain provisions of the Act: None.

09-25-0150

System Name: Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Institute of Environmental Health Sciences, HHS/NIH/NIEHS.

Security Classification: None.

System Location: Records in this system are located in National Institutes of Health (NIH) facilities in Research Triangle Park, North Carolina, or in facilities of contractors of the National Institute of Environmental Health Sciences (NIEHS). Inactive records may be retired to Federal Records Centers. The address of the NIH office responsible for records in this system is that of the System Manager listed below. The addresses of current locations at contractor sites and Federal Records Centers may be obtained by writing to the System Manager.

Categories of Individuals Covered by the System: Individuals covered by the system may include (1) patients of NIEHS or in NIEHS-sponsored programs, (2) participants in research studies supported by NIEHS, (3) recipients of grants, fellowships, traineeships or other awards from NIEMS, (4) employees and consultants, (5) persons, such as researchers, health care professionals or patients, who use, receive or are aware of NIEHS programs and services, and (6) members of health professions or of the general public who provide opinions or suggestions evaluating NIEHS programs and services.

Categories of Records in the System: This system consists of different sets of records used in evaluating different programs of the Institute. The type of data in any set of records depends on the scope of the particular evaluation study. As appropriate to the particular study, the data consists of two general types of information: (1) information identifying subject individuals, and (2) information which enables the institute to evaluate its programs and services.

(1) Identifying information usually consists of a name and address, but it might also include a patient identification number, grant number, Social Security Number, or other identifying number as appropriate to the particular group included in an evaluation study.

(2) Evaluative information varies according to the program which is being evaluated by a given study. Categories of evaluative information include personal and medical data on participants in clinical and research programs; publications, professional achievements and career history of employees, consultants and recipients of awards; and opinions and other information received directly from individuals in surveys and stodies of NIH programs.

Authority for Maintenance of the System: Authority for this system comes from the basic legislation which defines the mission of the National Institute of Environmental Health Sciences (42 U.S.C. 229b, 241, 242*l*, 289*l*-1 to 289*l*-4, 15 U.S.C. 793).

Purpose of the System: This system supports evaluation of the methods, materials, activities and services used by NIH in fulfilling its legislated mandate to conduct and support biomedical research into the causes, prevention and cure of diseases, to support training of research investigators, and to support communication of biomedical information.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses:

1. Disclosure may be made to HHS contractors and collaborating researchers, organizations, and state and local officials for the purpose of improving the effectiveness of NIH programs. The recipients will be required to protect the confidentiality of these records.
2. The Department contemplates that it may contract with one or more private firms for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to maintain Privacy Act safeguards with respect to such records.
3. Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.
4. In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice.
5. Disclousre may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored in file folders, bound notebooks, or computer-accessible forms (e.g. tapes, discs or punched cards).

Retrievability: Records are retrieved by name or identification number. However, sets of records are maintained separately for each evaluation study. There is no filing or retrieval system or list which covers all the sets of records in this system. Retrieval capability is limited to the particular evaluation study in which the records are used.

Safeguard: A variety of safeguards is implemented for the various sets of records included under this system according to the sensitivity of the data they contain. Information already in the public domain, such as titles and dates of publications, is not restricted. However, sensitive information such as personal or medical history or individually identified opinions, is protected according to the level of sensitivity of the data.

Minimal safeguards for the protection of information which is not available to the general public include:

(1) *Authorized Users:* Regular access to information is limited to NIH or to contractor employees and collaborating researchers who are conducting, reviewing or contributing to the evaluation study. Other special access is granted only one a case-by-case basis, consistent with the restrictions required by the Privacy Act (e.g., when disclosure is required by the Freedom of Information Act), as authorized by the System Manager of designated responsible official.

(2) *Physical Safeguards:* Records are stored in closed or locked containers, in areas which are not accessible to unauthorized users, and in facilities which are locked when not in use.

(3) *Procedural Safeguards:* Access to records is controlled by responsible employees and is granted only to authorized individuals whose identities are properly verified. Data stored in computers is accessed only through the use of key words known only to authorized personnel.

In addition, sensitive records are kept in locked metal filing cabinets or in a secured room or closed containers at all times when not in use; sensitive records are not left exposed to unauthorized persons at any time.

These practices are in compliance with the standards of chapter 45–13 of the HHS General Administration Manual, supplementary chapter PHS hf: 45–13, and Part 6, Systems Security, of the HHS ADP Systems Manual.

Retention and Disposal: While reports, statistical compilations and final recommendations derived from the evaluation studies are permanent records which will be offered to the National Archives when 22 years old, individually identified records are kept for five years and then destroyed under the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B–361), item 1100–C–12. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

System Manager and Address:

Program Analyst, Office of Program Planning and Evaluation, National Institute of Environmental Health Sciences (NIEHS), P.O. Box 12233, Research Triangle Park, N.C. 27709.

Notification Procedure: To determine if a record exists, write to: Program Analyst, Office of Program Planning and Evaluation, National Institute of Environmental Health Sciences (NIEHS), P.O. Box 12233, Research Triangle Park, N.C. 27709.

Requesters must provide the following information:

1. Full name.

2. Name and location of the evaluation study or other NIEHS program in which the requester participated.

3. Approximate dates of participation.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a 5,000 dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, other health professional, or other responsibile individual, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the System Manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction.

Record source categories: Information contained in these records is obtained directly from individual participants, from other records maintained by the operating programs of NIEHS, its contractors, grantees or collaborating researchers, or from policy available sources such as bibliographies.

Systems exempted from certain provisions of the Act: None.

Centers for Disease Control

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09-20-0094 Studies of Drug Resistant Tuberculosis Cases/Contacts. HHS/CDC/CPS.
09-20-0095 Varicela Zoster Immune Globulin Records on High Risk Immunosuppressed Children Exposed to Chickenpox. HHS/CDC/CPS.
09-20-0096 Tuskegee Study of Untreated Syphilis Medical Care Program. HHS/CDC/CPS.
09-20-0097 Studies of the Effects of BCG Vaccinations for Tuberculosis. HHS/CDC/CPS.
09-20-0098 Congenital Rubella Registry. HHS/CDC/CPS.
09-20-0102 Alien Mental Waiver Program. HHS/CDC/CPS.
09-20-0103 Alien Tuberculosis Follow-up Program. HHS/CDC/CPS.
09-20-0106 Specimen Handling for Testing and Related Data. HHS/CDC/CID.
09-20-0107 Dengue and Schistosomiasis Research Studies. HHS/CDC/CID.
09-20-0112 CDC Exchange Visitor and Guest Researcher Records. HHS/CDC/OAM.
09-20-0113 Epidemic Investigation Case Records. HHS/CDC/CID.
09-20-0117 Medical and Test Record Results of Individuals Involved in NIOSH Laboratory Studies. HHS/CDC/NIOSH.
09-20-0118 Study at Work-Sites where Agents Suspected of Being Occupational Hazards Exist. HHS/CDC/NIOSH.
09-20-0136 Epidemiologic Studies and Surveillance of Disease Problems. HHS/CDC/CID.
09-20-0137 Passport File. HHS/CDC/FMO.
09-20-0138 Epidemic Intelligence Service Officers Files. HHS/CDC/EPO.
09-20-0147 Occupational Health Epidemiological Studies. HHS/CDC/NIOSH.
09-20-0148 Results of Occupational Hearing Studies. HHS/CDC/NIOSH.
09-20-0149 General Industry Morbidity Studies. HHS/CDC/NIOSH.
09-20-0150 Morbidity Studies in Coal Mining Activities. HHS/CDC/NIOSH.
09-20-0151 Mortality Studies in Coal Mining Activities. HHS/CDC/NIOSH.
09-20-0152 Mortality Studies in Non-Coal Mining Activities. HHS/CDC/NIOSH.
09-20-0153 General Industry Mortality Studies. HHS/CDC/NIOSH.
09-20-0154 Medical and Laboratory Studies. HHS/CDC/NIOSH.
09-20-0155 Morbidity Studies in Metal and Non-Metal Mining Activities. HHS/CDC/NIOSH.
09-20-0156 Cytotechnologist Proficiency Answer Sheets and Test Results (Medicare). HHS/CDC/LIPO.
09-20-0157 Clinical Laboratory Technologists Proficiency Answer Sheets and Test Results (Medicare). HHS/CDC/LIPO.
09-20-0158 Independent Laboratory Directors Proficiency Answer Sheets and Exam Results (Medicare). HHS/CDC/LIPO.
09-20-0159 Records of Subjects in Certification, Testing and Safety Studies of Personal Protective Devices for Hazardous Work Environments. HHS/CDC/NIOSH.
09-20-0160 Records of Subject in Health Education Studies—HHS/CDC/CHPE.

09-20-0000

System name: Cooperative Mycoses Study. HHS/CDC/OCD.

Security classification: None.

System location: Federal Records Center, 1557 St. Joseph Ave., East Point, Georgia 30344.

Categories of individuals covered by the system: Adults and children who were infected with histoplasmosis, blastomycosis, coccidioidomycosis, aspergillosis, and other miscellaneous fungal infections, and who participated in the cooperative mycoses study conducted between 1947 and 1973 at the former CDC Kansas City Field Station, Ecological Investigations Division, Kansas City, Kansas.

Categories of records in the system: Medical records and related papers.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): The study was to evaluate the treatment of systemic fungal diseases by the U.S. Public Health Service and clinicians in selected hospitals and sanitoriums.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored in file folders and approved FRC boxes at the Federal Records Center.

Retrievability: Records are indexed and retrieved by name.

Safeguards: Electronic Anti-Intrusion Devices are in operation at the Federal Records Center (FRC). Only FRC Officials, the CDC Records Officer, and the System Manager are authorized to have access to the records. These safeguards are in compliance with HHS General Administration Manual, Part 45, Chapter 45–13 and PHS HF 45–13.

Retention and disposal: Records are maintained at the Federal Records Center for 16 years and are then destroyed by recycling process, unless needed for further study.

System manager(s) and address: Director, International Health Program Office, Centers for Disease Control, Bldg. 1, Room 224, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other

health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Individual medical records of patients in participating hospitals and sanitoriums.

Systems exempted from certain provisions of the act: None.

09–20–0001

System name: Certified Interpreting Physician File. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Respiratory Disease Studies (DRDS), National Institute for Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Data are also occasionally located at contractor sites as studies are developed, data collected, and reports written. A list of contractor sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Physicians who have been certified to interpret X-rays under the Federal Coal Mine Health and Safety Act of 1969.

Categories of records in the system: Physician's qualification.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 203(30 U.S.C. 843).

Purpose(s):

The main purpose is to provide certified physicians to read X-rays. Data is provided to the Social Security Administration to be used in approving Title IV benefits under the Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Name and address supplied to coal operators and x-ray facilities so that they may contact physicians to do work for them.

2. Name, address and Social Security number supplied to Department of Labor to be used in approving Title IV Benefits under the Act.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractor will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer printouts, microfilm, computer tape, computer disk.

Retrievability: Name or social security number is the index used to retrieve records. Social security numbers which are supplied on a voluntary basis are used for retrieval.

Safeguards: 24-hour guard service in building. Locked building; locked rooms. Personnel screening. Locked computer room and computer tape vaults. Locked file cabinets. Computer tapes are password protected.

Computerized records are protected by personnel screening, locked computer room, locked tape vaults, and lack of telecommunications.

Retention and disposal: Records are retained indefinitely unless disposal of a record is requested by the individual physician. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address: Program Management Officer, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09–20–0027

System name: Radiation Exposure Records for NIOSH Employees. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Safety Research (DSR), National Institute for Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505

Division of Technical Services (DTS), NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Data are also occasionally located at contractor sites, as studies are developed, data collected, and reports written. A list of contractor sites, where individually identifiable data is currently located, is available upon request to the System Manager.

Categories of individuals covered by the system: Present and past NIOSH employees.

Categories of records in the system: Name, x-ray exposure levels.

Authority for maintenance of the system: Occupational Safety and Health Act Section 19 (29 U.S.C. 668).

Purpose(s): The purpose of this system is to maintain x-ray exposure records to prevent toxic exposure to harmful rays.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purposes for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant informaiton, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files.

Retrievability: Name is the index used to retrieve records from this system.

Safeguards: 24-hour guard service in building
Locked building; locked rooms
Personnel screening
Locked file cabinets

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials.

System manager(s) and address: Physicist, Office of the Director, DSR, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Industrial Hygenist, OAMS, NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to:
Director, DSR, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0055

System name: Research/Demonstration, and Training Grants, and Cooperative Agreements Application Files. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Research Grants, NIH, Westbard Bldg., Westbard Ave., Bethesda, Maryland, 20014.

Grants Administration and Review Branch, National Institute for Occupational Safety and Health (NIOSH), Parklawn Bldg., Rm. 8-63, 5600 Fishers Lane, Rockville, Maryland 20857.

Division of Training and Manpower Development, NIOSH, 4676 Columbia Pkwy., Cincinnati, Ohio 45226.

Grants Management Officer, NIOSH, Parklawn Bldg., Rm. 8-35, 5600 Fishers Lane, Rockville, Maryland 20857.

Date are also occasionally located at grantee sites as studies are developed, data collected, and reports written. A list of grantee sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Applicants for occupational safety and health research and demonstration grants, and training grants.

Categories of records in the system: Draft and final grant application and review history, awards, financial records and progress reports and related correspondence.

Authority for maintenance of the system: Occupational Safety and Health Act, Sections 20 and 21 (29 U.S.C. 669, 670).

Purpose(s): The purpose of this system is to review grant applications for research and training and to administer funded grants. This information is provided to the National Institutes of Health and to components of NIOSH for review.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: (1) Referrals may be made of assignments of research investigations and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

(2) To the cognizant audit agency for auditing.

(3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(4) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(5) To qualified experts not within the definition of Department employees as prescribed in Department regulations for opinions as a part of the application review process.

(6) To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(7) To individuals and organizations deemed qualified by PHS to carry out specific research related to the review and award processes of PHS.

(8) To the grantee institution relative to performance or administration under the terms and conditions of the award.

(9) Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer pro-

gramming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

(10) In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: 5x8 cards, computer tapes and discs, notebooks and file folders.

Retrievability: Name is the index used to retrieve information.

Safeguards: The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator assigned to the project, project officer).

Computerized records are protected by personnel screening, password protection, locked computer rooms, and locked tape vaults.

Retention and disposal: Information is kept for one year beyond termination and then sent to the Federal Records Center for five years, after which it is destroyed. Unfunded applications are treated in the same manner. Draft applications are kept for one year or until an official application is received and then destroyed.

System manager(s) and address: Chief, Grants Section, Procurement and Grants Management Branch (PGMP), Office of Administrative and Management Services (OAMS), National Institute for Occupational Safety and Health (NIOSH), Room 8-33, 5600 Fishers Lane, Rockville, Maryland 20857.

Notification procedure: To determine if a record exists, write to: Chief, PGMB, OAMS, NIOSH, Room 8-29, 5600 Fishers Lane, Rockville, Maryland 20857.

Record access procedures: Contact the System Manager. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0059

System name: Division of Training Mailing List. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Training and Manpower Development (DTMD), National Institute for Occupational Safety and Health (NIOSH), 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Parklawn Computer Center, 5600 Fishers Lane, Rockville, Maryland 20857.

Data are also occasionally located at contractor sites as studies are developed, data collected, and reports written. A list of contractor sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Persons who have taken a NIOSH Training Course or who ask to be placed on the list.

Categories of records in the system: Name and address.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 21 (29 U.S.C. 670).

Purpose(s): The purpose of this system is to advise prospective students of upcoming NIOSH training course.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tapes, addressograph plates.

Retrievability: Name and Student Number are the indexes used to retrieve records from this system.

Safeguards: 24-hour guard service in building

Locked building; locked rooms

Personnel screening

Locked filed cabinets

Locked computer room and computer tape vaults; password protection on computerized files.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address: Audio Visual Production Officer, DTMD, NIOSH, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Notification procedure: To determine if a record exists, write to: Director, DTMD, NIOSH, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0082

System name: Diagnosis of Occupational Disease by Analysis of Body Fluids or Tissues through Biochemical or Clinical Chemical Analysis. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Biomedical and Behavioral Science (DBBS), National Institute for Occupational Safety and Health (NIOSH), Robert A. Taft Laboratories, Cincinnati, Ohio 45226.

In addition, data is occasionally located at contractor sites where analyses are performed, data collected and reports written. A list of contractor sites where individually identifiable data is currently located is available upon request to the system manager.

Categories of individuals covered by the system: Industrial workers.

Categories of records in the system: Medical Records, information necessary to interpret the medical records, and results of clinical laboratory tests.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Purpose(s): The purpose of this system is to maintain clinical laboratory results on individuals involved in NIOSH health hazard evaluations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Test results furnished to physician who requests analysis.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendent is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevent information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files.

Retrievability: Name or code is used to retrieve records from this system.

Safeguards: Building guards

Personnel screening

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate.

System manager(s) and address: Chief, Clinical and Biochemical Support Section, DBBS, NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Notification procedure: To determine if a record exists, write to:

Director, DBBS, NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Private and industrial physicians.

Systems exempted from certain provisions of the act: None.

09-20-0083

System name: Diagnostic Methods for Identification of Occupational Diseases through Biopsy and/or Autopsy Specimens. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Biomedical and Behavioral Science (DBBS) National Institute for Occupational Safety and Health (NIOSH) Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Data are also occasionally located at contractor sites as studies are developed, data collected, and reports written. A list of contractor sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Industrial workers.

Categories of records in the system: Medical records, and information necessary to interpret the medical records.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Purpose(s): The purpose of this system is to diagnose occupational diseases by tissue examination and analysis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Test results are furnished to the physician who requests analysis.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Portions of records (name, Social Security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occuring.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it seems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessay to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files.

Retrievability: Name or code is used to retrieve records from this system.

Safeguards: Building guards.

Personnel screening.

Computerized records are protected by locked computer rooms, locked tape vaults, and password protection.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the System Manager, and as provided in the signed consent form, as appropriate.

System manager(s) and address: Chief, Pathology Section, DBBS, NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to:
Director, DBBS, NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Private and industrial physicians.

Systems exempted from certain provisions of the act: None.

Appendix I

Potential Sources for Determination of Vital Status
Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services, Food Stamp Program, Child Support, Board of Corrections, Aging,
Indian Affairs, Workman's Compensation, Disability Insurance
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)

09-20-0096

System name: Surveillance of Persons on Isoniazid Preventive Treatment for Tuberculosis. HHS/CDC/CPS.

Security classification: None.

System location: Tuberculosis Control Division, Freeway Office Park—Rm. 127, Centers for Disease Control, Atlanta, Georgia 30333

and

Federal Records Center, 1557 St. Joseph Ave., East Point, Georgia 30344.

Categories of individuals covered by the system: Children and adults who received isoniazid preventive therapy for tuberculosis in the following local and county health departments during the period July 1971–Dec. 1973: Mobile, Birmingham, San Francisco, Honolulu, New Orleans, Detroit, Albuquerque, Buffalo, Columbus, Ohio, Baltimore, Cincinnati, Cleveland, Tulsa, Bristol, Pa., Nashville, Richmond, Memphis, San Diego, Ft. Lauderdale, Toledo.

Categories of records in the system: Medical records including history and physical examination, laboratory test results, x-ray results, medications prescribed, alcohol intake, smoking habits, etc.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): To monitor the incidence of overt liver disease in widely scattered geographic areas, among individuals receiving preventive therapy with isoniazid manufactured by different companies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to health departments and other public health or cooperating medical authorities in connection with program evaluations and related collaborative efforts to deal more effectively with diseases and conditions of public health significance.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cards and file folders are stored in boxes in the Federal Records Center. Computer tapes are stored in a fireproof vault.

Retrievability: Retrieved by the participant's name and study I.D. number.

Safeguards: Locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel i.e., medical officer, project manager, computer specialists, statistician, and statistical assistant. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: 5 years. May be transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 15 years.

System manager(s) and address: Director, Tuberculosis Control Division, Freeway Park Building, Room 111, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: State and local health departments.

Systems exempted from certain provisions of the act: None.

09–20–0087

System name: Surveillance of Inadvertent Vaccination during Pregnancy. HHS/CDC/CPS.

Security classification: None.

System location: Immunization Division, Building 6, Room 243, Centers for Disease Control, Atlanta, Georgia 30333.

Categories of individuals covered by the system: Women who were vaccinated against rubella immediately preceding pregnancy or accidentally vaccinated during pregnancy. Included in the records system are minors.

Categories of records in the system: Medical Histories.

Authority for maintenance of the system: Public Health Service Act, Section 301, 361 (42 U.S.C. 244, 264).

Purpose(s): To maintain surveillance of pregnant women who received live virus vaccines.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and computer tapes.

Retrievability: Records are retrieved by identifying code number.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e., project managers and computer operators. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: 5 years. May be transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 20 years, unless needed for further study.

System manager(s) and address:

Director, Center for Prevention Services, Building 1, Room 3007, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Private physicians.

Systems exempted from certain provisions of the act: None.

09–20–0088

System name: Subacute Sclerosing Panencephalitis Surveillance. HHS/CDC/CPS.

Security classification: None.

System location:

Immunization Division, Building 6, Room 243, Centers for Disease Control, Atlanta, Georgia 30333.

Categories of individuals covered by the system: Patients, including adults and children, with diagnosis SSPE.

Categories of records in the system: Epidemiological and clinical histories.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): To understand better the disease of panencephalitis among persons who have received vaccination against measles.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable

that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tapes are maintained in locked vault.

Retrievability: Records are retrieved by identifying code number.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e., project managers and computer operators. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number years held at CDC: 10 years. May be transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 20 years, unless needed for further study.

System manager(s) and address: Director, Center for Prevention Services, Building 1, Room 3007, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretense is a criminal offense under the Privacy Act subject to a

5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child's/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Private physicians.

Systems exempted from certain provisions of the act: None.

09-20-0089

System name: Studies of Treatment of Tuberculosis and other Mycobacterioses. HHS/CDC/CPS.

Security classification: None.

System location: Tuberculosis Control Division, Freeway Park Building, Rooms 145-149, Centers for Disease Control, Atlanta, Georgia 30333.

and

Federal Records Center, 1557 St. Joseph Avenue, East Point, Georgia 30344.

Categories of individuals covered by the system: Adults and children with tuberculosis or other mycobacterial disease being treated or observed by participating local or county health departments, clinics, and hospitals. (From 1959 until the present time).

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241)

Purpose(s): To determine the effectiveness and safety of treatments for tuberculosis and other mycobacterial disease is the purpose of the system. Data are used in statistical, aggregate form only.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to health departments and other public health or cooperating medical authorities in connection with program evaluations and related collaborative efforts to deal more effectively with diseases and conditions of public health significance.

A record may be disclosed for a research purpose, when the department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplish consistent with the purpose of the research project, unless the recipient has presented adequate justificiation of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research proejct, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cards and file folders are stored in file cabinets or boxes. Magnetic computer tapes are stored in a fireproof vault.

Retrievability: Records are retrieved by the participant's name and study I.D. number.

Safeguards: Locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e., project managers, system analysts, and computer operators. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or

specific project. For computerized records, these safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonauthomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: 5 years. May be transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 20 years, unless needed for further study.

System manager(s) and address: Director, Tuberculosis Control Division, Freeway Office Park, Room 111, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a

5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who request notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Individuals, local health departments, hospitals, and clinics.

Systems exempted from certain provisions of the act: None.

09–20–0090

System name: Studies of Testing for Tuberculosis and other Mycobacterioses. HHS/CDC/CPS.

Security classification: None.

System location: Tuberculosis Control Division, Freeway Office Park, Rooms 237, 142, 127, Centers for Disease Control, Atlanta, Georgia 30333

and

Federal Records Center, 1557 St. Joseph Ave., East Point, Georgia 30344.

Categories of individuals covered by the system: Study participants include patients, clientele, and employees of local and county health departments, hospitals, and other institutions currently observing and/or treating cases of tuberculosis and other mycobacterial disease. Participants include adults and children.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): To study the diagnostic value of tests used to identify persons infected with M. tuberculosis or sensitized by other mycobacteria. These records may also be used by the Food and Drug Administration in conducting research related to Investigational New Drugs (IND).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Test results will be returned to the collaborating physician or responsible hospital official.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cards, file folders, and computer tapes.

Retrievability: Records are retrieved by name and I.D. number.

Safeguards: Locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e., project managers, system analysts, and computer operators. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: 5 years. May be transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 20 years, unless needed for further study.

System manager(s) and address: Director, Tuberculosis Control Division, Freeway Park Building, Room 111, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a

5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Individuals and hospitals.

Systems exempted from certain provisions of the act: None.

09–20–0093

System name: Tuberculosis Preventive Therapy Studies. HHS/CDC/CPS.

Security classification: None.

System location: Tuberculosis Control Division, Freeway Office Park, Room 142, Centers for Disease Control, Atlanta, Georgia 30333

and

Federal Records Center, 1557 St. Joseph Ave, East Point, Georgia 30344.

Categories of individuals covered by the system: Study participants, including adults and children, who were contacts to tuberculosis patients in Puerto Rico during 1957–1959. Also adults who had inactive tuberculosis during 1960–1964.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): To evaluate the safety and effectiveness of preventive tuberculosis therapy using the drug isoniazid.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cards, file folders and computer tapes.

Retrievability: Records are retrieved by name.

Safeguards: Locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e., project managers and program analysts. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter. Departmental security guidelines will be followed.

Retention and disposal: Records are maintained at the Federal Records Center for 20 years and are then destroyed by recycling process, unless needed for further study.

System manager(s) and address: Director, Tuberculosis Control Division, Freeway Park Building, Room 111, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Participants and/or family members of participants.

Systems exempted from certain provisions of the act: None.

09–20–0094

System name: Studies of Drug Resistant Tuberculosis Cases/Contacts. HHS/CDC/CPS.

Security classification: None.

System location: Tuberculosis Control Division, Freeway Park Building, Room 137, 142, 127, Centers for Disease Control, Atlanta, Georgia 30333

and

Federal Records Center, 1557 St. Joseph Ave., East Point, Georgia 30344.

Categories of individuals covered by the system: County and local health department patients, including adults and children, for whom routine treatment fails due to the resistance of the organisms to antituberculosis drugs.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42, U.S.C. 241).

Purpose(s): To determine the best measures against drug resistant tuberculosis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be disclosed to health departments and other public health or cooperating medical authorities in connection with program evaluations and related collaborative efforts to deal more effectively with diseases and conditions of public health significance.

A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate

justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cards, file folders and computer tapes.

Retrievability: Records are retrieved by I.D. number.

Safeguards: Locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e, project manager, program analysts, designated physicians and computer operators. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS Chapter.

Retention and disposal: Number of years held at CDC: 5 years. May be transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 20 years, unless needed for further study.

System manager(s) and address: Director, Tuberculosis Control Division, Freeway Park Building, Room 111, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for an acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contract the official at the address speicfied under Notification procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: State and local health departments, and laboratories.

Systems exempted from certain provisions of the act: None.

09-20-0095

System name: Varicela Zoster Immune Globulin Records on High Risk Immunosuppressed Children Exposed to Chickenpox. HHS/CDC/CPS.

Security classification: None.

System location: Immunization Division, Bldg. 6, Rm. 243, CDC, Atlanta, Georgia 30333.

and

Federal Records Center, 1557 St. Joseph Ave., East Point, Georgia 30344.

Categories of individuals covered by the system: High risk immunosuppressed children (e.g., children whose natural immune response is low) who are exposed to chickenpox.

Categories of records in the system: Epidemiological and clinical histories.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): To evaluate measures used against chickenpox.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department of present an effective defense, provided such disclosure is compatible with the purposes for which the records were collected.

The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cards, file folders, and computer tapes.

Retrievability: Records are retrieved alphabetically by name.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e., project managers and program analysts. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: 5 years. May be transferred to Federal Records Center when no longer

needed for evaluation and analysis. Destroyed by paper recylcing process after 20 years, unless needed for further study.

System manager(s) and address: Director, Center for Prevention Services, Bldg. 1, Rm. 2047, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identify or (2) must cerify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a

5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the represenative's discretion.

A parent of guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Private physicians.

Systems exempted from certain provisions of the act: None.

09-20-0096

System name: Tuskegee Study of Untreated Syphilis Medical Care Program. HHS/CDC/CPS.

Security classification: None.

System location: Center for Prevention Services, Bldg. 1, Room 3007, CDC, Atlanta, Georgia 30333.

Categories of individuals covered by the system: Adult participants in the study and their family members.

Categories of records in the system: Medical records.

Authority for maintenance of the system: Public Health Act, Section 301 (42 U.S.C. 241).

Purpose(s): To determine eligibility for medical care for participants and their family members and to maintain status of participants in litigation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Information may be furnished to courts of competent jurisdiction and to attorneys for legal purposes.

Records may be disclosed to health departments and other public health or cooperating medical authorities in connection with program evaluations and related collaborative efforts to deal more effectively with diseases and conditions of public health significance.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File Folders.

Retrievability: Records are retrieved alphabetically by name.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening. Limited access to only authorized personnel, i.e., management officials and staff who review and approve payments of medical costs. Two or more or these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the specific type of records. Safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The Safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: Indefinite period, pending completion of litigation. Records may be retired to a Federal Record Center and subsequently disposed of in accordance with CDC's Records Control schedule. The records control schedule may be obtained by writing to the system manager at the address below.

System manager(s) and address: Director, Center for Prevention Services, Bldg. 1, Rm 3007, CDC, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a

5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contract(s) with the Centers for Disease Control representative; (3) nature of the questionnaire of study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physican or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Participants and family members of participants entitled to medical care; Social Security Administration for Medicare information; and state welfare departments for information on Medicaid.

Systems exempted from certain provisions of the act: None.

09-20-0097

System name: Studies of the Effects of BCG Vaccinations for Tuberculosis. HHS/CDC/CPS.

Security classification: None.

System location: Federal Records Center, 1557 St. Joseph Ave., East Point, Georgia 30344.

Categories of individuals covered by the system: Adults and children who received BCG vaccinations during 1950 at county health clinics in Muscogee County, Georgia, Russell County, Alabama, and at the Las Lomas Public Health Clinic in Rio Piedros, Puerto Rico.

Categories of records in the system: Medical records, including skin tests and x-ray results.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): To determine the effectiveness and safety of BCG vaccinations for the prevention of tuberculosis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if infomation that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Records may be disclosed to Health Departments and other public health or cooperating medical authorities in connection with program evaluations and related collaborative effects to deal more effectively with diseases and conditions of public health significance.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressinal office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cards and file folders.

Retrievability: Records are retrieved by name.

Safeguards: Locked buildings, locked rooms, personnel screening. Limited acces to only authorized personnel, i.e., program managers and computer operators. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Records are transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 15 years, unless needed for further study.

System manager(s) and address: Director, Tuberculosis Control Division, Freeway Park Building, Room 111, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identi-

fy the record, specify the information being contested, and state the corrective action sought.

Record source categories: Participants and family members of participants in the Commonwealth of Puerto Rico, Muscogee County, Georgia, and Russell County, Alabama.

Systems exempted from certain provisions of the act: None.

09-20-0098

System name: Congenital Rubella Registry. HHS/CDC/CPS.

Security classification: None.

System location: Immunization Division, Building 6, Room 243, Centers for Disease Control, Atlanta, Georgia 30333.

Categories of individuals covered by the system: Patients with diagnosis of rubella at birth.

Categories of records in the system: Epidemiological and clinical histories.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s):

To monitor incidence of congenital rubella (e.g., existing at birth but not hereditary) and its relationship to rubella vaccination.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cards and file folders are stored in lockable file cabinets.

Retrievability: Records are retrieved by identifying code number.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening. Limited access to only authorized personnel, i.e., project managers and systems analysts. Two or more of these safeguards are used for all records, covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Records are transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 20 years, unless needed for further study.

System manager(s) and address: Director, Center for Prevention Services, Building 1, Room No. 2047, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contract(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Private physicians.

Systems exempted from certain provisions of the act: None.

09-20-0102

System name: Alien Mental Waiver Program. HHS/CDC/CPS.

Security classification: None.

System location: International Health Information and Visa Medical Activity, Centers for Disease Control, Quarantine Division, Building D, Freeway Office Park, Room 208, Atlanta, Georgia 30333

and

Federal Records Center, 1557 St. Joseph Ave., East Point, Georgia 30344.

Categories of individuals covered by the system: Immigrant aliens with waivers of excludability who are mentally retarded or who have an attack of insanity.

Categories of records in the system: Medical history files.

Authority for maintenance of the system: Public Health Service Act Section 325 (42 U.S.C. 252); Immigration and Nationality Act Section 212(g) (8 U.S.C. 1182(g)).

Purpose(s): To comply with the requirements of Section 212(g) of the Immigration and Nationality Act, CDC must receive and maintain medical records on aliens who apply for waivers of excludability due to mental retardation or a previous attack of insanity. CDC uses medical records to process the initial applications for such waivers and for periodic medical surveillance and evaluation of individual cases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Department of State (DOS) or Immigration and Naturalization Service (INS) obtains initial medical examinations and submits to Quarantine Division of CDC. Final diagnosis returned to submitter. Alien or sponsor furnishes copy of medical file to local health care facility in U.S.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Individual file folders.

Retrievability: Records are retrieved by name.

Safeguards: Locked buildings, locked rooms, personnel screening. Limited access to only authorized personnel, i.e., program manager and immediate staff members. Two or more of these safeguards are used for all records, covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Records are held at CDC for 6 years, and are then transferred to the Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 4 years, unless needed for further study.

System manager(s) and address: Director, Center for Prevention Services, Room 3007, Bldg. 1, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Prior to alien's arrival in the U.S., medical information is submitted by Department of State and/or Justice Department (INS); after arrival, medical reports submitted by medical specialist, schools, or institutions.

Systems exempted from certain provisions of the act: None.

09-20-0103

System name: Alien Tuberculosis Follow-up Program. HHS/CDC/CPS.

Security classification: None.

System location: International Health Information and Visa Medical Activity, Quarantine Division, Building D, Freeway Office Park, Room 208, Centers for Disease Control, Atlanta, Georgia 30333.

Categories of individuals covered by the system: Immigrant Aliens with Tuberculosis.

Categories of records in the system: Categories of records in the System:

Medical history.

Authority for maintenance of the system: Public Health Service Act Section 325 (42 U.S.C. 252); Immigration and Nationality Act Section 212(g)(8 U.S.C. 1182(g)).

Purpose(s): To provide a record system for the surveillance and periodic medical evaluation of immigrant aliens with tuberculosis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to the state health department, the courts or city health department, the private physician or other health care facility that will provide the medical care for the immigrant alien.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Card files.

Retrievability: Records are retrieved by name, by year of arrival, and by State of initial settlement in the United States.

Safeguards: Locked buildings, locked rooms, personnel screening. Limited access to only authorized personnel, i.e., designated members of Quarantine Division and Tuberculosis Division. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: 2 years. Destroyed by paper recycling process after 2 years.

System manager(s) and address: Director, Center for Prevention Services, Room 3007, Bldg. 1, CDC, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identify or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3)

nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Information obtained from alien's visa medical documents at port of entry by Quarantine Inspectors.

Systems exempted from certain provisions of the act: None.

09-20-0106

System name: Specimen Handling for Testing and Related Data. HHS/CDC/CID.

Security classification: None.

System location: Center for Infectious Diseases, Scientific Services Program, Bldg. 4—Room 35, Centers for Disease Control, Atlanta, Georgia 30333

Hepatitis and Enteric Viral Diseases Division, Center for Infectious Diseases, Centers for Disease Control, Room 123, 4402 North 7th St., Phoenix, Ariz. 85014.

Categories of individuals covered by the system: Adults and children whose specimens have been submitted to CDC for testing.

Categories of records in the system: Results of diagnostic tests involving microbiology, clinical chemistry, hematology, immunology, genetics and pathology.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): For documentation of test results which are returned to submitter. Used between specialty units for research purposes; and for epidemiological investigations for epidemic causes, prevention family groupings of diseases, and geographical location of specific diseases; also, used by epidemiologists and researchers in determining drug resistance of specific organisms.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions. To individuals and organizations deemed qualified by the Secretary to carry out quality assessment, medical audits, and utilization review. The Department contemplates that it will contract with a private firm for the purposes of collating, analysing, aggregating, or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records. 8

Records may be disclosed to Health Departments and other public health or cooperating medical authorities in connection with program evaluations and related collaborative efforts to deal more effectively with diseases and conditions of public health significance.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Records are stored on computer tapes, discs, microfilm and file folders.

Storage: Original Form—file folders; microfilm copies—computer storage.

Retrievability: Retrieved by: name or designated number furnished by the submitter, CDC identifying number, microfilm number.

Safeguards: 24-hour guard service in buildings locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to designated scientists, researchers and system managers. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS Chapter.

Retention and disposal: Number of years held at CDC: 10 years and then destroyed by paper recycling process.

System manager(s) and address: Director, Center for Infectious Diseases, Building 1—Room 6007, CDC Atlanta, Georgia 30333

Director, Epidemiology Program Office, Room 3009, Building 1, CDC, Atlanta, Georgia 30333

San Juan Investigations Division, CID, Centers for Disease Control, San Juan, Puerto Rico

Director, Center for Prevention Services, Centers for Disease Control, Building 1, Room 2047, Atlanta, Georgia 30333

Federal Records Center, 1557 St. Joseph Ave., East Point, Georgia 30344

and

Director, Hepatitis and Enteric Viral Diseases Division, Room 123, 4402 North 7th Street, Phoenix, Arizona 85014.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other

health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Approved public health laboratories, Federal medical facilities, some private physicians.

Systems exempted from certain provisions of the act: None.

09-20-0107

System name: Dengue and Schistosomiasis Research Studies. HHS/CDC/CID.

Security classification: None.

System location: San Juan Investigations Activity, Center for Infectious Diseases, Centers for Disease Control, San Juan, Puerto Rico.

Categories of individuals covered by the system: Adults and children who participated as patients and controls in these ongoing studies during the past 20 years.

Categories of records in the system: Demographic and health behavioral information on individuals in study community.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241).

Purpose(s): The record system is used in the evaluation of the control programs for the tropical diseases schistosomiasis and dengue.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions. To individuals and organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review. The Department contemplates that it will contract with a private firm for the purposes of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information transferred to Puerto Rico Health Department.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Stored on computed discs, cards and listings.

Retrievability: Indexed and retrieved by I.D. number.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e., project managers, designated researchers, and computed operators. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. For computerized records, these safeguards are established in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years at CDC: 2 years. May be transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 10 years, unless needed for further study.

System manager(s) and address: Director, Center for Infectious Diseases, Building 1, Room 6007, Centers for Disease Controls, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the offical at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Directly from participants in the studies.

Systems exempted from certain provisions of the act: None.

09-20-0112

System name: CDC Exchange Visitor and Guest Researcher Records. HHS/CDC/OAM.

Security classification: None.

System location: CDC, Personnel Management Office, Commissioned Corps & Fellow Program Section, Bldg. 1, Room 1042, Centers for Disease Control, Atlanta, Georgia 30333.

Categories of individuals covered by the system: Visiting Fellows, Visiting Associates, Visiting Scientists, Staff Fellows, Guest Researchers.

Categories of records in the system: Applications, request for appointment, bibliography, curriculum vitae, letters of reference.

Authority for maintenance of the system: Public Health Service Act Section 207(g), (h), 208 and 301 (42 U.S.C. 209(g), (h), 210 and 301).

Purpose(s): This system is utilized by Center officials for the purpose of review of applications and supporting documents in order to award fellowships; and for the determinations regarding salary or stipend increase.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and computer tapes.

Retrievability: The system is accessed by name of the individual, exchange visitor or guest researcher.

Safeguards: 24-hour guard service in buildings, locked buildings, locked file rooms, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the types of records covered by each individual study. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number years held at CDC: 2. How destroyed: shredded.

System manager(s) and address: Director, Personnel Management Office, Commissioned Corps & Fellow Program, Bldg. 1, Room 1042, CDC, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate, in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Secured from applicant.

Systems exempted from certain provisions of the act: None.

09-20-0113

System name: Epidemic Investigation Case Records. HHS/CDC/CID.

Security classification: None.

System location: Center for Infectious Diseases, Centers for Disease Control, Atlanta, Georgia 30333.

Categories of individuals covered by the system: Adults and children with communicable disease, their contacts, others with possible exposure and appropriate controls.

Categories of records in the system: Medical histories, case reports, line listings, hand sort cards.

Authority for maintenance of the system: Public Health Service Act, Section 301, 361 (42 U.S.C. 241, 264).

Purpose(s): The records system is used by professional personnel at the Centers for Disease Control for more complete knowledge of the disease/condition in the following ways: (1) An examination of existing files enables investigators to determine areas that have been adequately investigated and to specify those that might be pursued or (2) records may later be examined in the light of future discoveries and proven associations so that relevant data collected at the time of the outbreak may be analyzed and reassessed.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records are considered to be the records of state and/or local health departments and are left with them at the end of the investigations. These health departments may then identify persons with disease and/or others contacted during the investigations to control, prevent, or treat disease, or for follow-up evaluation including collection of appropriate biological specimens. CDC may or may not request duplicate copies of these records for further analysis following completion of the field investigation. Private physicians may also be supplied pertinent medical information from these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders and on computer tape.

Retrievability: Retrieved alphabetically by name.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individial study or specific project. Departmental security guidelines will be followed. For computerized records, safeguards are in accordance with HHS/ADP Systems Manual, Part 6. The safeguards described for nonautomated records are in accord-

ance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: 4 years. May be transferred to Federal Records Center when no longer needed for evaluation and analysis. Destroyed by paper recycling process after 16 years.

System manager(s) and address: Director, Center for Infectious Diseases, Building 1—Room 6007, Centers for Disease Control Atlanta, Georgia 30333

Director, Epidemiology Program, Building 1, Room 5009, Centers for Disease Control, Atlanta, Georgia 30333

Director, Center for Prevention Services, Building 1—Room 2047, Centers for Disease Control, Atlanta, Georgia 30333

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories:

Patients, state and local health departments, and private physicians.

Systems exempted from certain provisions of the act:

None.

System name: Medical and Test Record Results of Individuals Involved in NIOSH Laboratory Studies. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Biomedical and Behavioral Sciences (DBBS), National Institute for Occupational Safety and Health (NIOSH), Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

In addition, data is occasionally located at field work sites and contractor sites, as studies are developed, data collected, and reports written. A list of field and contractor sites, where individually identifiable data are currently located is available upon request to the system manager.

Categories of individuals covered by the system: Volunteer subjects from the general population.

Categories of records in the system: Occupational history, medical history, results of medical tests, demographic data, results of psychological and psychometric tests, and data necessary to interpret the medical results.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Purpose(s): This system is to develop composite data summaries to support the development of criteria for occupational safety and health standards, and to provide other recommendations for improving worker safety and health.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files, computer cards, computer tapes, computer listings, microfilm.

Retrievability: Name and case number are the indexes used to retrieve records from this system.

Safeguards: Evening guard service in building

Locked building; locked rooms

Personnel screening

Locked computer room and computer tape vaults

Locked file cabinets; password protection on computerized files.

Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records required by each individual study.

Retention and disposal: Personal identifiers are destroyed as soon as they are no longer necessary for the protection of the individuals involved. Computer tapes are erased; paper records are shredded or burned.

System manager(s) and address: Staff Assistant, DBBS NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DBBS, NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

An individual who requests notification of or access to medical records shall, at the time the request is made, (l) provide a written notarized request designating a responsible respresentative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment of questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09-20-0118

System name: Study at Work-Sites where Agents Suspected of Being Occupational Hazards Exist. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Biomedical and Behavioral Science, (DBBS), National Institute for Occupational Safety and Health (NIOH), Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

In addition, data is occasionally located at field work sites and contractor sites as studies are developed, data collected, and reports written. A list of field and contractor sites where individually identifiable data is currently located is available upon request to the system manager.

Categories of individuals covered by the system: Subjects employed at specific sites under study.

Categories of records in the system: Occupational history, medical history, results of medical tests, demographic data, employee records, psychological and psychometric tests, and data necessary to interpret the medical results.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Purpose(s): This system is to determine the relationship between worker exposure to hazardous agents or stressors and occupational disease. This information is used to recommend procedures to reduce the incidence of occupational disease.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigaton initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files, computer cards, computer tapes, computer listings, microfilm.

Retrievability: Name and case number are the indexes used to retrieve records from this system.

Safeguards: Evening guard service in building, Locked building; locked rooms, Personnel screening, Locked computer room and computer tape vaults, Locked file cabinets; password protection on computer files.

Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records required by each individual study.

Retention and disposal: Personal identifiers are destroyed as soon as the system has stabilized, and statistical summaries can be run. Computer tapes are erased; paper records are shredded or burned.

System manager(s) and address: Staff Assistant, DBBS, NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notorized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DBBS, NIOSH, Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notorized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual and from employee records.

Systems exempted from certain provisions of the act: None.

09-20-0136

System name: Epidemiologic Studies and Surveillance of Disease Problems. HHS/CDC/CID

Security classification: None.

System location: Director, Center for Infectious Diseases, Bldg. 1, Room 6007, Centers for Disease Control, Atlanta, Georgia 30333.

Categories of individuals covered by the system: Adults and children with reported diseases and other preventable conditions of public health significance; also included are control group participants.

Categories of records in the system: Case reports, line listings, hand sort cards, medical records, questionnaires, and related documents.

Authority for maintenance of the system: Public Health Service Act, Sec. 301 (42 U.S.C. 241)

Purpose(s): This record system enables CDC officials to better understand disease patterns in the U.S., develop programs for prevention and control of health problems, and communicate new knowledge to the health community.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

To individuals and organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review.

The Department is under contract with private firms for the purposes of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records are maintained by the contractors. The contractors are required to maintain Privacy Act safeguards with respect to such records.

Records may be disclosed to Health Departments and other public health or cooperating medical authorities in connection with program evaluations and related collaborative efforts to deal more effectively with diseases and conditions of public health significance.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tapes and file folders.

Retrievability: By name of individual and by identification number.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel, i.e., designated researchers, epidemiologists, and their clerical staffs. Two or more of these safegards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study or specific project. Departmental security guidelines will be followed. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Record copy of study reports maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed by program official. Personal identifiers may be deleted from records when no longer needed in the study as determined by the system manager, and as provided in the signed consent form, as appropriate.

System manager(s) and address: Director, Center for Infectious Diseases, Bldg. 1, Rm. 6007, Centers for Disease Control, Atlanta, Georgia 30333.

Epidemiology Program Office, Bldg. 1 Rm. 5009, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the questionaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's/incompetant person's medical record shall designate a family physician or other health professional (other than a family member) to who the record, if any, will be sent.

The parent or guardian must verify his/her relationship to the child/incompetent person by providing a birth certificate (or notarized copy), court order, or other competent evidence of guardianship.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Individuals, private physicians, state and local health departments, and other health care providers.

Systems exempted from certain provisions of the act: None.

09-20-0137

System name: Passport File. HHS/CDC/FMO.

Security classification: None.

System location: Financial Management Office, PFy Building, Room 107B, Centers for Disease Control, Atlanta, Georgia 30333.

Categories of individuals covered by the system: CDC employees.

Categories of records in the system: Passport status records.

Authority for maintenance of the system: 5 U.S.C. 301.

Purpose(s): To show status of passports of CDC employees who travel to foreign countries on official business.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Retrieved by name.

Safeguards: Locked buildings, locked rooms, personnel screening, limited access to Financial Management Office personnel only. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number years held at CDC: 5. When passports expire or when they are cancelled, they are returned to the subject individual. If the individual does not wish to receive the cancelled or expired passport, the document is destroyed by shredding.

System manager(s) and address: Director, Financial Management Office, PFy Building, Room 200, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person

must either (1) submit a notorized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health rofessional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for disease Control representative; (3) nature of the questionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: CDC employees.

Systems exempted from certain provisions of the act: None.

09–20–0138

System name: Epidemic Intelligence Service Officers Files. HHS/CDC/EPO.

Security classification: None.

System location: Epidemiology Program Office, Bldg. 1, Rm. 5014 (1976 to present), Centers for Disease Control, Atlanta, Georgia 30333

and

Federal Records Center (1960–1976), 1557 St. Joseph Ave., East Point, Georgia 30344.

Categories of individuals covered by the system: EIS Officers—Current, alumni and applicants.

Categories of records in the system: Applications, interview materials, letters of recommendations, call to duty papers.

Authority for maintenance of the system: Public Health Service Act Sections 203,207 (42 U.S.C. 204 and 209).

Purpose(s): The system is designed to process individual applications for the epidemic intelligence service officer program, and to assess a candidate's suitability for a position in the program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Retrieved by name.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, limited access to only authorized personnel, i.e., Office director and immediate staff. The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Number of years held at CDC: 4 years. May be transferred to Federal Records Center. Destroyed by paper recycling process after 16 years.

System manager(s) and address: Director, Epidemiology Program Office, Bldg. 1, Rm. 5009, Centers for Disease Control, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notificaton of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the contact(s) with the Centers for Disease Control representative; (3) nature of the quesitionnaire or study in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Educational institutions, previous employers.

Systems exempted from certain provisions of the act: None.

09–20–0147

System name: Occupational Health Epidemiological Studies. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Surveillance, Hazard Evaluation, and Field Studies (DSHEFS), National Institute for Occupational Safety and Health (NIOSH), 4676 Columbia Parkway, Cincinnati, Ohio 45226

Federal Records Center, Dayton, Ohio 45439

Parklawn Computer Center, Production Control Section, Tape Library, Room 2–B–70, 5600 Fishers Lane, Rockville, Maryland 20857.

In addition, data is occasionally located at field work sites and contractor sites as studies are developed, data collected and reports written. A list of field and contractor sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Industrial workers exposed to physical and/or chemical agents that may damage the human body in any way. Some examples are: 1) organic carcinogens, 2) inorganic carcinogens, 3) mucosal or dermal irritants, 4) fibrogenic materials, 5) acute toxic agents including sensitizing agents, 6) neurotoxic agents, 7) mutogenic (male and female) and teratogenic agents, 8) bio-accumulating non-carcinogen agents, and 9) chronic vascular disease causing agents.

Categories of records in the system: Physical exams, sputum cytology results, questionnaires, demographic information, smoking history, occupational histories, previous and current employment records, urine test records, X-rays, medical history, pulmonary function test records, medical disability forms, blood test records, drivers license data, hearing test results, spirometry results. The specific types of

records to be collected and maintained are determined by the needs of the individual study.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241); Occupational Safety and Health Act Section 20 (20 U.S.C. 669); Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951).

Purpose(s): Studies carried out under this system are to evaluate mortality of occupatonally related diseases to determine the cause and prevention of diseases of industrial origin, and lead toward future prevention of occupationally related diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Portions of records (name, Social Security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, state of local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

Test data which would indicate the existence of cancer may be provided to the State Cancer Registry where the State has a legally constituted cancer registry program which provides for the confidentiality of information.

Certain communicable diseases may be reported to State and/or local Health Departments where the State has a legally constituted reporting program for communicable diseases and which provides for the confidentiality of the information.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files, computer files, card files, microfilm, microfiche, and other files as appropriate.

Retrievability: Name, assigned number, plant name, year tested are some of the indices used to retrieve records from these systems. Other retrieval methods are utilized as individual research dictates.

Safeguards: Locked buildings, locked rooms, locked file cabinets, personnel screening, locked computer room and computer tape vaults, 24-hour guard service, password protection of computerized records, limited access to only authorized personnel. Two or more of the safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by an individual study.

Retention and disposal: Records will be maintained from three to twenty years in accordance with retention schedules. Every attempt will be made to strip personal identifiers from records and destroy the records when they are no longer needed. Any paper records which are disposed of will be shredded or burned and computer tapes will be erased.

System manager(s) and address: Program Management Officer (PMO), DSHEFS, F-1, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DSHEFS, F-1, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Vital status information is obtained from Federal, state and local governments and other available sources selected from those listed in Appendix I. Information is obtained directly from the individual and employer records, whenever possible.

Systems exempted from certain provisions of the act: None.

Appendix I—Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services; Food Stamp Program, Child Support, Board of Corrections, Aging;
Indian Affairs, Workman's Compensation, Disability Insurance
Retail Credit Association Follow up
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension of employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)
Social Security Administration
Internal Revenue Service

09-20-0148

System name: Results of Occupational Hearing Studies. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Biomedical and Behavioral Science (DBBS), National Institute for Occupational Safety and Health (NIOSH), Robert A. Taft Laboratories, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

In addition, data is occasionally located at field work sites and contractor sites as studies are developed, data collected and reports written. A list of field and contractor sites where individually identifiable data is currently located is available upon request from the Systems Manager.

Categories of individuals covered by the system: Workers exposed to noise at a harmful or potentially hazardous level and individuals selected as control groups.

Categories of records in the system: Physical examinations, results of laboratory tests (physiological, acceleration measures, performance tests); results of hearing tests, hearing acuity tests, occupational histories, medical history, demographic data, related medical information. The specific types of records to be collected and maintained are determined by the needs of the individual study.

Authority for maintenance of the system: Occupational Safety and Health Act, Section 20 (29 U.S.C. 669); Federal Coal Mine Safety and Health Act (30 U.S.C. 669 Section 20)

Purpose(s): This system is to assist in the development of standards for occupational exposure to hazards.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department of any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files, computer tapes, microfilm, computer cards, index audiogram files, audiogram questionnaire forms.

Retrievability: Name, case number and study number are the indices used to retrieve records from this system.

Safeguards: 24-hour guard service in buildings, locked buildings, personnel screening, access limited to authorized personnel. In most instances information is related to individual identifiers by case numbers. The file of individual case number relationships is available to a limited group of people. Computerized records are protected by locked computer rooms, locked computer tape vaults, and password protection.

Retention and disposal: Record copy maintained from three to ten years in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form as appropriate. Disposal methods include erasing computer tapes and burning or shredding printouts.

System manager(s) and address: Industrial Hygiene Engineer, Noise Section, Physical Agents Effects Branch, DBBS, NIOSH, 4676 Columbia Parkway, Cincinnati, Ohio 45226.

Notification procedure: An individual may learn if a record exists bout herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DBBS, NIOSH, 4676 Columbia Parkway, Robert A. Taft Laboratories, Cincinnati, Ohio 45226.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified under notification procedures above.

Record source categories: Information is obtained directly from the individual, and employee records. Many of the hearing test results were obtained from Doctors Memorial Hospital Hearing and Speech Center, Atlanta, Ga.

Systems exempted from certain provisions of the act: None.

09-20-0149

System name: General Industry Morbidity Studies. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Respiratory Disease Studies (DRDS) National Institute for Occupational Safety and Health (NIOSH) Morgantown, West Virginia 26505.

In addition, data is occasionally located at field collection sites and contractor sites as studies are developed, data collected, and reports written. A list of field and contrator sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Persons working, or having worked at workplaces not identified as surface mining or below ground mining operations and exposed or potentially exposed to substances which are known or suspected respiratory irritants or carcinogens. Also included are those individuals in the general population who have been selected as a control group.

Categories of records in the system: Previous and current employment records, medical and occupational histories, demographic data, X-rays, smoking histories, results of medical tests such as pulmonary function data and spirometry test results, permission forms, industrial environmental data, and questionnaires. The specific types of records to be collected and maintained are determined by the research needs of the specific study.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669); Federal Coal Mine Health and Safety Act, Section 501 (30 U.S.C. 951).

Purpose(s): The purpose of the system is to investigate occupationally related diseases and to determine the cause and prevention of such diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her offical capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-

owned computers. The contractors will be required to maintain Privacy Act safeguards.

Test data which would indicate the existence of cancer may be provided to the State Cancer Registry where the State has a legally constituted cancer registry program which provides for the confidentiality of information.

Certain communicable diseases may be reported to State and/or local Health Departments where the State has a legally constituted reporting program for communicable diseases and which provides for the confidentiality of the information.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tape, cards, and printouts; microfiche; X-rays; and manual files.

Retrievability: Plant name, study, name, and/or assigned numerical identifiers are some of the indices used to retrieve records from this system. Social Security numbers, supplied on a voluntary basis may occasionally be used for data retrieval.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safegards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study.

Retention and disposal: Record copy maintained in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials, and erasing computed tapes.

System manager(s) and address: Program Management Officer (PMO), DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual and from employee records.

Systems exempted from certain provisions of the act: None.

09-20-0150

System name: Morbidity Studies in Coal Mining Activities. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Respiratory Disease Studies (DRDS) National Institute for Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Data is also occasionally located at field collection sites and contractor sites, as studies are developed, data collected, and reports written. A list of field and contractor sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Persons working or having worked at coal mining operations and exposed or potentially exposed to substances which are known or suspected respiratory irritants or carcinogens. Also included are those individuals in the general population who have been selected as a control group.

Categories of records in the system: Previous and current employment records, medical and occupational histories, demographic data, X-rays, smoking histories, results of medical tests such as pulmonary function data, spirometry test results, permission forms, industrial environmental data, and questionnaires. The specific types of records to be collected and maintained are determined by the research needs of the specific study.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 9511); Section 203 (30 U.S.C. 843); Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Purpose(s): The purpose of this system is to investigate occupationally related diseases and to determine the cause and prevention of such diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Some data is sent to the Mining Enforcement and Safety Administration, Department of the Interior to report incidence of pneumoconiosis.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

Test data which would indicate the existence of cancer may be provided to the State Cancer Registry where the state has a legally constituted cancer registry program which provides for the confidentiality of information.

Certain communicable diseases may be reported to state and/or local Health Departments where the state has a legally constituted reporting program for communicable diseases and which provides for the confidentiality of the information.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tape, cards, and printouts; microfiche; X-rays, and manual files.

Retrievability: Plant name, study, name, and/or assigned numerical identifiers are some of the indices used to retrieve records from this system. Social Security numbers, supplied on a voluntary basis, may occasionally be used for data retrieval.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer room and tape vaults, password protection of computerized records, limited access

to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study.

Retention and disposal: Record copy maintained in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials, and erasing computer tapes.

System manager(s) and address: Program Management Officer (PMO), DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual and from employee records.

Systems exempted from certain provisions of the act: None.

09–20–0151

System name: Mortality Studies in Coal Mining Activities. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Respiratory Disease Studies (DRDS), National Institute for Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Data is also occasionally located at field collection sites and contractor sites as studies are developed, data collected, and reports written. A list of field and contractor sites where individually identifiable data is currently located in available upon request to the System Manager.

Categories of individuals covered by the system: Persons working, or having worked at coal mining operations and exposed or potentially exposed to substances which are known or suspected respiratory irritants or carcinogens. Also included are those individuals in the general population who have been selected as a control group.

Categories of records in the system: Previous and current employment records, medical and occupational histories, demographic data, X-rays, smoking histories, results of medical tests such as pulmonary function data and spirometry test results, permission forms, industrial environmental data, and questionnaires. The specific types of records to be collected and maintained are determined by the research needs of the specific study.

Authority for maintenance of the system: Public Health Service Act, Section 301 (42 U.S.C. 241). Coal Mine Health and Safety Act, Section 501 (30 U.S.C. 951).

Purpose(s): The purpose of this system is to investigate occupationally related diseases and to determine the cause and prevention of such diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Portions of records (name, social security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, State, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally-related mortality is occurring.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tape, cards, and printouts; microfiche; X-rays; and manual files.

Retrievability: Plant name, study, name, and/or assigned numerical identifiers are some of the indices used to retrieve records from this system. Social security numbers, supplied on a voluntary basis may occasionally be used for data retrieval.

Safeguards: Locked buildings, locked rooms, 24 hour guard service, locked file cabinets, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by an individual study.

Retention and disposal: Record copy maintained in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address: Program Management Office (PMO), DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of

the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire adminstration.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual and from death certificates.

Systems exempted from certain provisions of the act: None.

Appendix I—Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services;
Food Stamp Program, Child Support, Board of Corrections, Aging; Indian Affairs, Workman's Compensation, Disability Insurance
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)
Social Security Administration
Internal Revenue Service

09–20–0152

System name: Mortality Studies in Non-Coal Mining Activities. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Respiratory Disease Studies (DRDS), National Institute for Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Data is also occasionally located at field collection sites and contractor sites as studies are developed, data collected, and reports written. A list of field and contractor sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Persons working, or having worked at mining operations other than coal operations and exposed or potentially exposed to substances which are known or suspected respiratory irritants or carcinogens. Also included are those individuals in the general population who have been selected as a control group.

Categories of records in the system: Previous and current employment records, medical and occupational histories, demographic data, X-rays, smoking histories, results of medical tests such as pulmonary function data and spirometry test results, permission forms, industrial environmental data, and questionnaires. The specific types of records to be collected and maintained are determined by the research needs of the specific study.

Authority for maintenance of the system: Public health Service Act Section 301(42 U.S.C. 241); Federal Metal and Nonmetallic Mine Safety Act Section 4 (30 U.S.C. 723); Occupational Safety and Health Act Section 20 (29 U.S.C. 669).

Purpose(s): The purpose of this system is to investigate occupationally related diseases and to determine the cause and prevention of such diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Portions of records (name, Social Security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done solely for obtaining a determination as to whether or not an individual has died. The purpose of determining death is so that NIOSH may obtain death certificates, which state the cause of death, from the appropriate Federal, State, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occurring.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tape, cards and printouts; microfiche; X-rays; and manual files.

Retrievability: Plant name, study, name, and/or assigned numerical identifiers are some of the indices used to retrieve records from this system. Social security numbers, supplied on a voluntary basis may occasionally be used for data retrieval.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study.

Retention and disposal: Record copy maintained in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address: Program Management Officer (PMO), DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of

the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained from: the individual, company personnel records, from death certificates, and from industry and union records.

Systems exempted from certain provisions of the act: None.

Appendix I—Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of:
Assistance Payments (Welfare), Social Services, Medical Services; Food Stamp Program, Child Support, Board of Corrections, Aging; Indian Affairs, Workman's Compensation, Disability Insurance
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversation with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)
Social Security Administration
Internal Revenue Service

09-20-0153

System name: General Industry Mortality Studies. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Respiratory Disease Studies (DRDS), National Institute for Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Data is also occasionally located at field collection sites and contractor sites as studies are developed, data collected, and reports written. A list of field and contractor sites where indivdually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Persons working, or having worked at workplaces not identified as surface mining or below ground mining operations and exposed or potentially exposed to substances which are known or suspected respiratory irritants or carcinogens. Also included are those individuals in the general population who have been selected as a control group.

Categories of records in the system: Previous and current employment records, medical and occupational histories, demographic data, X-rays, smoking histories, results of medical tests such as pulmonary function data and spirometry test results, permission forms, industrial environmental data, and questionaires. The specific types of records to be collected and maintained are determined by the research needs of the specific study.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669); Public Health Service Act; Section 301 (42 U.S.C. 141).

Purpose(s): The purpose of this system is to investigate occupationaliy related diseases and to detemine the cause and prevention of such diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Portions of records (name, Social Security number if known, date of birth, and last known address) may be disclosed to one or more other sources selected from those listed in Appendix I, as applicable. This may be done soleiy for obtaining a determination as to whether or not an indivdual has died. The purpose of determining death is so that NISOH may obtain death certificates, which state the cause of death, from the appropriate Federal, State, or local agency. Cause of death will enable NIOSH to evaluate whether excess occupationally related mortality is occuring.

In the event of litigation where the defendant is (a) the Department , any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tape cards, and printouts; microfiche; X-rays; and manual files.

Retrievability: Plant name, study, name, and/or assigned numerical identifiers are some of the indices used to retrieve records from this system. Social Security numbers, supplied on a voluntary basis may occasionally be used for data retrieval.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer room and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by such individual study.

Retention and disposal: Record copy maintained in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, and as provided in the signed consent form, as appropriate. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address: Program Management Officer (PMO), DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Notification procedure: An individaul may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of

the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual, from employee records, from death certificates, and from industry and trade union records.

Systems exempted from certain provisions of the act: None.

Appendix I—Potential Sources for Determination of Vital Status

Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of: Assistant Payment (Welfare), Social Services, Medical Services; Food Stamp Program, Child Support, Board of Corrections, Aging; Indian Affairs, Workman's Compensation, Disability Insurance
Veterans' Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conservations with former employees of the same establishment as cohort member
Appropriate local newspaper (obituaries)
Social Security Administration
Internal Revenue Service

09-20-0154

System name: Medical and Laboratory Studies. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Respiratory Disease Studies (DRDS), National Institute for Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Data are also occasionally located at contractor sites as studies are developed, data collected, and reports written. A list of contractor sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Individuals who have had physical examinations at DRDS or who have had biochemical tests done on various samples submitted to DRDS.

Categories of records in the system: Analysis of biochemical data, occupational and medical histories, and results of medical tests. The specific types of records to be collected and maintained are determined by the needs of the individual study.

Authority for maintenance of the system: Coal Mine Health and Safety Act Section 501 (30 U.S.C. 951), Occupational Safety and Health Act Section 20 (29 U.S.C. 669). Occupational Safety and Health Act Section 22(d) (29 U.S.C. 671(d); Federal Coal Mine Health and Safety Act Section 427(b).

Purpose(s): The purpose of this system is to perform medical and epidemiological research, statistical analysis, and to identify early indicators of occupationally related diseases (biochemical indices); data is given to other NIOSH units for biochemical and epidemiological studies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Division to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

Test data which would indicate the existence of cancer may be provided to the State Cancer Registry where the State has a legally constituted cancer registry program which provides for the confidentiality of information.

Certain communicable diseases may be reported to State and/or local Health Departments where the State has a legally constituted reporting program for communicable diseases and which provides for the confidentiality of the information.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tape, cards, and printouts; microfiche; X-rays; and manual files.

Retrievability: Name and case number are the indices used to retrieve records from this system.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer room and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by such individual study.

Retention and disposal: Record copy maintained in accordance with retention schedules. Source documents for computer disposed of when no longer needed in the study, as determined by the system manager, as provided in the signed consent form as appropriate. Disposal methods include erasing computer tapes and burning or shredding paper materials.

System manager(s) and address: Project Management Officer, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) of request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notsrized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record content being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Information is obtained directly from the individual.

Systems exempted from certain provisions of the act: None.

09–20–0155

System name: Morbidity Studies in Metal and Non-Metal Mining Activities. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Respiratory Disease Studies (DRDS), National Institute For Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Data is also occasionally located at field collection sites and contractor sites as studies are developed, data collected, and reports written. A list of field and contractor sites where individually identifiable data is currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Persons working, or having worked at mining operations other than coal mining operations and exposed or potentially exposed to substances which are known or suspected respiratory irritants or carcinogens. Also included are those individuals in the general population who have been selected as a control group.

Categories of records in the system: Previous and current employment records, medical and occupational histories, demographic data, X-rays, smoking histories, results of medical tests such as pulmonary function data and spirometry test results, permission forms, industrial environmental data, and questionnaires. The specific types of records to be collected and maintained are determined by the research needs of the specific study.

Authority for maintenance of the system: Occupational Safety and Health Act Section 20 (29 U.S.C. 669); Public Health Service Act Section 301 (42 U.S.C. 241).

Purpose(s): The purpose of this system is to investigate occupationally related diseases and to determine the cause and prevention of such diseases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Data may be sent to State Vital Statistics Divisions to obtain death certificates, and to Missing Person Location Agencies to find those individuals who cannot otherwise be located.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computers. The contractors will be required to maintain Privacy Act safeguards.

Test data which would indicate the existence of cancer may be provided to the State Cancer Registry where the state has a legally constituted cancer registry program which provides for the confidentiality of information.

Certain communicable diseases may be reported to state and/or local Health Departments where the state has a legally constituted reporting program for communicable diseases and which provides for the confidentiality of the information.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigation proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tape, cards, and printouts; microfiche; X-rays; and manual files.

Retrievability: Plant name, study name, and/or assigned numerical identifiers are some of the indices used to retrieve records from this system. Social Security numbers, supplied on a voluntary basis, may occasionally be used for data retrieval.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer room and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by such individual study.

Retention and disposal: Record copy maintained in accordance with retention schedules. Source documents for computer disposal of when no longer needed in the study, and as determined by the system manager, as provided in the signed consent form as appropriate. Disposal methods include computer tapes and burning or shredding paper material.

System manager(s) and address: Program Management Officer, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, DRDS, NIOSH, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Vital status information is obtained from Federal, state and local governments and other available sources. Information is obtained from the individual and from employer records.

Systems exempted from certain provisions of the act: None.

09–20–0156

System name: Cytotechnologist Proficiency Answer Sheets and Test Results (Medicare). HHS/CDC/LIPO.

Security classification: None.

System location: Centers for Disease Control, Laboratory Improvement Program Office, Building 3, Room B49, 1600 Clifton Rd., N.E., Atlanta, Georgia 30333.

and

Federal Records Center, 1557 St. Joseph Ave., East Point, GA 30344

and

Professional Examination Service, 475 Riverside Drive, New York, N.Y. 10027.

Categories of individuals covered by the system: Cytotechnologists.

Categories of records in the system: Answer Sheets, Examination scores.

Authority for maintenance of the system: Social Security Act Sections 1123 (42 U.S.C. 1320a–2).

Purpose(s): To maintain a record of examination scores in order to provide proficiency cards and test results to examinees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Deprtment or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tapes and computer-generated listings filed by discipline, by state, in file folders.

Retrievability: Listings and answer sheets are retrieved by examination, state, examinee's name and address, and examination number.

Safeguards: Files are maintained in a combination lock file cabinet in a secured building. 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards decribed for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Lists are to be retained through fiscal year 1985. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by paper recycling process or shredding.

System manager(s) and address: Association Director for Health Laboratory Manpower Development, Laboratory Improvement Program Office, Bldg. 3, Room B 49, Centers for Disease Control, 1600 Clifton Road, N.E., Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the examination(s); (3) nature of the examination in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Scored examinations.

Systems exempted from certain provisions of the act: None.

09–20–0157

System name: Clinical Laboratory Technologists Proficiency Answer Sheets and Test Results (Medicare). HHS/CDC/LIPO.

Security classification: None.

System location: Laboratory Improvement Program Office, Bldg. 3, Room B49, Centers for Disease Control, 1600 Clifton Rd., N.E., Atlanta, Georgia 30333

and

Federal Records Center, 1557 St. Joseph Ave., East Point, GA 30344

and

Professional Examination Service, 475 Riverside Drive, New York, N.Y. 10027.

Categories of individuals covered by the system: Clinical laboratory technologists.

Categories of records in the system: Answer sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a–2).

Purpose(s): To maintain a record of examination scores in order to provide proficiency cards and test results to examinees. When applicable, answer sheets are used to revalidate results.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tapes and computer-generated listings filed by discipline, by State, in file folders.

Retrievability: Listings and answer sheets are retrieved by examination, State, examinee's name and address, and examination number.

Safeguards: 24–hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Lists are to be retained through FY 1985. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by paper recycling process of shredding.

System manager(s) and address: Associate Director for Health Laboratory Manpower Development, Laboratory Training and Consultation Division, Laboratory Improvement Program Office, Bldg. 3, Room B49, Centers for Disease Control, 1600 Clifton Road, N.E., Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive identification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the examination(s); (3) nature of the examination in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under Notification Procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Scored examinations.

Systems exempted from certain provisions of the act: None.

09–20–0158

System name: Independent Laboratory Directors Proficiency Answer Sheets and Exam Results (Medicare). HHS/CDC/LIPO.

Security classification: None.

System location: Laboratory Improvement Program Office, Building 3, Room B49, Centers for Disease Control, 1600 Clifton Rd., N.E., Atlanta, Georgia 30333.

and

Federal Records Center, 1557 St. Joseph Ave., East Point, GA 30344

and

Professional Examination Service, 475 Riverside Drive, New York, N.Y. 10027.

Categories of individuals covered by the system: Independent laboratory directors.

Categories of records in the system: Answer sheets. Examination scores.

Authority for maintenance of the system: Social Security Act Section 1123 (42 U.S.C. 1320a–2).

Purpose(s): To maintain a record of examination scores in order to provide proficiency cards and test results to examinees. When applicable, answer sheets are used to revalidate results.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tapes and computer-generated listings filed by discipline, by State, in file folders.

Retrievability: Listings and answer sheets are retrieved by examination, State, examinee's name and address, and examination number.

Safeguards: 24-hour guard service in buildings, locked buildings, locked rooms, personnel screening, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6.The safeguards described for nonautomated records are in accordance with Chapter 45–13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Lists are to be retained through FY 1985. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by paper recycling process or shredding.

System manager(s) and address: Associate Director for Health Laboratory Manpower Development, Laboratory Training and Consultation Division, Laboratory Improvement Program Office, Bldg. 3 Room B49, Centers for Disease Control, 1600 Clifton Road, N.E., Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide driver's license or other positive indentification. Individuals who do not appear in person must either (1) submit a notarized request to verify their identity or (2) must certify that they are the individuals they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a 5,000 fine.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate date(s) of the examination(s); (3) nature of the examination in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the offical at the address specified under Notification Procedures above, and reasonably identify the record and specify the information to be contested.

Record source categories: Scored examinations.

Systems exempted from certain provisions of the act: None.

09–20–0159

System name: Records of Subjects in Certification, Testing and Safety Studies of Personal Protective Devices for Hazardous Work Environments. HHS/CDC/NIOSH.

Security classification: None.

System location: Division of Safety Research (DSR), National Institute for Occupational Safety and Health (NIOSH), 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.

Data are also occasionally located at field worksites and contractor sites as studies are developed, data collected and reports written. A list of field and contractor sites where individually identifiable data are currently located is available upon request to the System Manager.

Categories of individuals covered by the system: Individuals exposed to hazardous work environments and individuals selected as control groups will be covered by this system. Additionally, the system pertains to individuals selected to test the interaction between people, personal protection or safety equipment, users of such equipment, and a hazardous environment. Some examples include individuals selected to: perform respirator facepiece fit tests, evaluate hearing protectors, perform lifting and manual materials handling studies, perform strength test studies, and perform hand speed tests.

Categories of records in the system: The system will contain such records as physical examinations, questionnaires, results of laboratory tests (physiological acceleration measures, and performance tests), workplace performance records, results of hearing tests, occupational histories, medical histories, demographic data, and related medical information. The specific types of records to be collected and maintained are determined by the needs of the individual study.

Authority for maintenance of the system: The Public Health Service Act, Section 301 (42 U.S.C. 241); the Occupational Safety and Health Act, Section 20 (29 U.S.C. 669); and the Coal Mine Health and Safety Act, Section 501 (30 U.S.C. 951).

Purpose(s): The purpose of this system is to permit acquisition of information related to certification of personal protective equipment, hazard-measuring devices, and safety research studies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosures may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office, made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. For example, records may be released to the Department of Justice in defending claims against the U.S. when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

In the event of litigation initiated at the request of NIOSH, the Institute may disclose such records as it deems desirable or necessary to the Department of Justice to enable the Department to effectively represent the Institute, provided such disclosure is compatible with the purpose for which the records were collected. The only types of litigative proceedings that NIOSH is authorized to request are (1) enforcement of a subpoena issued to an employer to provide relevant information, or (2) contempt citation against an employer for failure to comply with a warrant obtained by the Institute.

Portions of records (name, Social Security number if known, date of birth, and last known address) may be disclosed to one or more sources selected from those listed in Appendix I. This may be done to determine if the individual has died so that a death certificate can be obtained. Knowing the cause of death will enable NIOSH to evaluate whether excess occupationally-related mortality is occuring.

Records subject to the Privacy Act will be disclosed to private firms for data entry, computer systems analysis, and computer programming services. The contractors will promptly return all data entry records, and all computer work will be done on Government-owned computer. The contractors will be required to maintain Privacy Act safeguards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files, computer tape, microfilm, computer cards, index audiogram files, audiograms, questionnaire forms.

Retrievability: Name, assigned number, plant name, and year tested are some of the indices used to retrieve records from these systems. Other retrieval methods are utilized as individual research dictates.

Safeguards: Locked buildings, locked rooms, locked file cabinets, personnel screening, locked computer room and computer tape vaults, 24-hour guard service, limited access only to authorized personnel. The particular safeguards used are selected as appropriate for the type of records covered by an individual study. For computerized records, safeguards are in accordance with Part 6, ADP Systems Security, of the HHS/ADP Systems Manual. Safeguards for nonautomated records are in accordance with the NIOSH Sensitive Data Security Program Briefing Booklet.

Retention and disposal: Records will be maintained from three to twenty years in accordance with retention schedules. Personal identifiers will be stripped from records, and records will be destroyed when they are no longer needed. All paper records which are disposed of will be shredded or burned and computer tapes will be erased.

System manager(s) and address: Program Management Officer (PMO), Division of Safety Research, NIOSH, 944 Chestnut Ridge Road, Morgantown, WV 26505.

Notification procedure: An individual may learn if a record exists about herself/himself upon written request, with notarized signature if request is made by mail, or with suitable identification (i.e., driver's license, passport) if request is made in person. All individuals requesting records will be informed that anyone who knowingly and willfully requests access to a record pertaining to an individual under false pretenses is committing a criminal offense under the Act and subject to a maximum fine of 5,000 dollars.

To determine if a record exists, write to: Director, Division of Safety Research, NIOSH, 944 Chestnut Ridge Road, Morgantown, WV 26505.

An individual who requests notification of or access to medical records shall, at the time the request is made, (1) provide a written notarized request designating a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion, (2) supply the name of the study, if known, (3) provide the approximate date and place of the study, if known, and (4) provide the approximate date and place of treatment or questionnaire administration.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified under notification procedures above and reasonably identify the record and specify the information to be contested.

Record source categories: Information needed is obtained either directly from the individual, or from employee records whenever possible. Other sources may include those listed in Appendix I.

Systems exempted from certain provisions of the act: None.

Appendix I

Potential Sources for Determination of Vital Status
Military Records
Appropriate State Motor Vehicle Registration Departments
Appropriate State Drivers License Departments
Appropriate State Government Divisions of: Assistance Payments (Welfare), Social Services, Medical Services, Food Stamp Program, Child Support, Board of Corrections, Aging, Indian Affairs, Workman's Compensation, Disability Insurance
Veteran's Administration Files
Appropriate employee union or association records
Appropriate company pension or employment records
Company group insurance records
Appropriate State Vital Statistics Offices
Life Insurance Companies
Railroad Retirement Board
Area Nursing Homes
Area Indian Trading Posts
Mailing List Correction Cards (U.S. Postal Service)
Letters and telephone conversations with relatives
Letters and telephone conversations with former employees of the same establishment as cohort member
Appropriate Local Newspaper (Obituaries)
Social Security Administration
Internal Revenue Service

09-20-0160

System name: Records of Subjects in Health Education Studies--HHS/CDC/CHPE.

Security classification: None.

System location: Center for Health Promotion and Education, Centers for Disease Control, Building 14, Room 10, Atlanta, Georgia 30333.

A list of contractor sites is available upon request to the System Manager.

Categories of individuals covered by the system: Adults and children, including teachers and students, who participate in studies and surveys designed to obtain data on their knowledge, attitudes, and reported behavior related to a variety of health problems and/or other potential preventable conditions of public health significance; also included are control group participants.

Categories of records in the system: Responses to questionnaires by adults and children, including teachers and students, pertaining to health knowledge, attitude and behavior, site visit data, organizational data regarding health education in school curriculum, course content, medical histories, demographic data of the survey population as well as identification data for follow-up purposes.

Authority for maintenance of the system: Public Health Service Act, Sec. 301 Research and Investigations (42 U.S.C. 241).

Purpose(s): This record system enables CDC officials to develop and evaluate existing health education programs for disease prevention and control, and to communicate new knowledge to the health community for the implementation of such programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to CDC contractors in the conduct of research studies covered by this system notice and in the preparation of scientific reports, in order to accomplish the stated purpose of the system. The recipients will be required to maintain Privacy Act safeguards with respect to such records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer tapes and file folders.

Retrievability: Name of individual, identification number, school name and year tested are some of the indices used to retrieve records from this sytem.

Safeguards: 24-hour guard service in buildings, locked buildings, locked file rooms, locked computer rooms and tape vaults, password protection of computerized records, limited access to only authorized personnel. Designated researchers and their clerical staff are authorized personnel. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of records covered by each individual study. For computerized records, safeguards are in accordance with HHS/ADP System Security Manual, Part 6. The safeguards described for nonautomated records are in accordance with Chapter 45-13 in the General Administration Manual, and the supplementary PHS chapter.

Retention and disposal: Source documents for computer disposed of when no longer needed by program official. Personal identifiers may be deleted from records when no longer needed in the study as determined by the system manager, and as provided in the signed consent form as appropriate.

System manager(s) and address: Director, Research and Evaluation, Center for Health Promotion and Education, Centers for Disease Control, Bldg. 14, Room 10, Atlanta, Georgia 30333.

Notification procedure: An individual may learn if a record exists about himself or herself by contacting the System Manager at the address above. Requesters in person must provide positive identification. Individuals who do not appear in person must either (1) submit

a notarized request to verify their identity, or (2) must certify that they are the individuals whom they claim to be and that they understand that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act subject to a

5,000 fine.

In addition, an individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child by means of a birth certificate or court order, as well as verify that he or she is who he or she claims to be.

Finally, all of the following information must be provided when requesting notification: (1) full name; (2) approximate dates of the contact with the Centers for Disease Control representative; (3) nature of the study or questionnaire in which the requester participated; (4) nature of the material desired.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the system manager and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Individuals, and participating public and private schools which maintain records on enrolled students.

Systems exempted from certain provisions of the act: None.

Health Services Administration

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09-15-0001

System name: Division of Federal Employee Occupational Health, Employee Health Records. HHS/HSA/BMS.

Security classification: None.

System location: A current list of health unit sites is available by writing to the System Manager at the address below.

Categories of individuals covered by the system: Federal employees enrolled in PHS/DFEOH Health Units.

Categories of records in the system: Health records.

Authority for maintenance of the system: 5 USC 7901, 5 USC 8101, OMB Circular No. A-72.

Purpose(s): Employees are provided occupational health services (on a voluntary basis). Data necessary to ensure proper diagnosis, treatment, and continuity of care are included in the employee health records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Certain records may be disclosed to medical laboratories, medical consultants, or computer processing firms under a service contract agreement. Recipients are required to maintain adequate safeguard with respect to such records.

In the event of a change in sponsorship of a PHS/DFEOH health care unit or in a case of mass transfer of employees covered by a PHS/DFEOH health care unit to one served by a non-departmental organization, the health records will be transferred to the custodianship of the new organization.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect, the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Disclosure may be made to the U.S. Department of Labor, Office of Worker's Compensation Program, of those files of persons claiming compensation benefits due to personal injury while on the job.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Alphabetically by last name.

Safeguards: 1. Authorized Users: DFEOH Health Unit personnel, physicians, nurses, and other allied health professionals.

2. Physical Safeguards: All documents are secured during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural Safeguards: All users of personal information in connection with the performance of their jobs protect information from public view and from authorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the DFEOH Manual of Operations, BMS Privacy Act Implementation Guidelines; HHS Ch 45-13 and Ch PHS.hf:45-13 of the General Administration Manual.

Retention and disposal: Number of years held at HSA—Period of service or 6 years if inactive. How destroyed: shredded and disposed of if inactive more than 6 years.

System manager(s) and address: Director, Division of Federal Employee Occupational Health

Bureau of Medical Services, Directors, FOB No. 3, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager at the address above. Individual must provide positive identification, such as driver's license, passport, voter registration card, union card, or a written certification verifying his or her identity. Individuals must provide treatment location and approximate date of treatment. Requesters should also reasonably specify the record contents being sought. An individual who requests access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified in the Notification Procedures above and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories: Information is obtained from the Federal employee, the x-ray, laboratory, and EKG contractors, physician and nurse notes, OWCP and personnel office.

Systems exempted from certain provisions of the act: None.

09-15-0002

System name: Record of Patients' Personal Valuables and Monies. HHS/HSA/BMS.

Security classification: None.

System location: Financial Management offices—see appendix.

Categories of individuals covered by the system: Individuals admitted to PHS Hospitals.

Categories of records in the system: Information regarding personal valuables, such as watches or rings, and monies checked in by the patients for safe-keeping.

Authority for maintenance of the system: Public Health Service Act Section 321 (42 U.S.C. 248).

READEX FICHE

Purpose(s): The purpose of the system is to provide for the safekeeping of patients' valuables. Records may also be used by the HHS Audit Agency for audit purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to prezent an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage. Valuables and monies are sealed in an envelope and filed in a locked safe.

Retrievability: Name and hospital record number.

Safeguards: 1. Authorized users: PHS facility personnel responsible for the security of valuables and monies, PHS facility cashiers, nurses, and physicians.

2. Physical Safeguards: All documents are protected during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural Safeguards: All users or personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; HHS Ch 45–13 and Ch PHS.hf: 45–13 of the General Administration Manual.

Retention and disposal: Number of years held at HSA: Until audited by HHS Audit Agency. How destroyed: incinerator.

System manager(s) and address: Chief, Financial Management Branch, BMS, 11th Floor, Federal Center Bldg. No. 3, 6525 Belcrest Rd., W. Hyattsville, MD 20782.

Notification procedure: Write to appropriate Financial Management office—as listed in appendix. Individual must provide positive identification, such as driver's license, passport, voter registration card, union card, or a written certification verifying his or her identity. Requesters should also reasonably specify the record contents being sought.

Record access procedures: Same as notification procedures.

Contesting record procedures: Write to the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Patient and admission record.

Systems exempted from certain provisions of the act: None.

Appendix

Address all correspondence to, Director, USPHS Hospital, Attn: Chief, Financial Management, at the appropriate locations:

USPHS Hospital, 3100 Wyman Park Drive, Baltimore, MD 21211

USPHS Hospital, 77 Warren St., Boston (Brighton) Mass. 02135

USPHS Hospital, Carville, La 70721

USPHS Hospital, 2030 Space Park Drive, Nassau Bay, TX 77058

USPHS Hospital, 210 State St., New Orleans, La 70118

USPHS Hospital, 6500 Hampton Blvd., Larchmont, Norfolk, Va 23508

USPHS Hospital, 1131 14th Ave., South, Seattle, Wash., 98144

USPHS Hospital, Bay Street and Vanderbilt Avenue, Staten Island, New York 10304

USPHS Hospital, 15th Ave., & Lake St., San Francisco, Calif. 94118

09–15–0003

System name: Contract Physicians and Consultants. HHS/HSA/BMS.

Security classification: None.

System location: 6525 Belcrest Road, Room 1100, Presidential Building, Hyattsville, Maryland 20782, and 9 USPHS Hospitals per appendix.

Categories of individuals covered by the system: Medical and allied health professionals (e.g., physicians, nurses, physical therapists, and dentists) who have contracted with the Bureau of Medical Services to provide services to beneficiaries.

Categories of records in the system: Duplicate of original contract and personal data qualifications.

Authority for maintenance of the system: Public Health Service Act Sections 321, 322 (42 U.S.C. 248, 249).

Purpose(s): To monitor contract negotiations and compliance, to review credentials, and to collect statistical data required to manage the program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Name and contract number.

Safeguards: 1. Authorized Users: PHS supervisory medical officers, financial management staff and contracting personnel.

2. Physical Safeguards: All documents are protected during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural Safeguards: All users of personal information in connection with the performance of their jobs protect information from public and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; HHS Ch 45–13 and Ch PHS.hf:45–13 of the General Administration Manual.

Retention and disposal: Number of years held at HSA—1–3 years dependent upon renewal. Destroyed by shredding.

System manager(s) and address: Chief, General Services Branch, Bureau of Medical Services, 6525 Belcrest Road, Room 1100, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager at the address above or the facility where the

contract was negotiated. (See Appendix). The individual must provide positive identification, such as driver's license, passport, voter registration card, or written certification verifying his or her identity. Requesters should also reasonably specify the record contents being sought.

Record access procedures: Same as notification procedures.

Contesting record procedures: Write to the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Medical, allied health professionals and dentists.

Systems exempted from certain provisions of the act: None.

Appendix

Director, USPHS Hospital, attn: General Supply Officer, 3100 Wyman Park Drive, Baltimore, Maryland 21211

Director, USPHS Hospital, attn: General Supply Officer, 77 Warren Street, Boston (Brighton), Mass. 02135

Director, USPHS Hospital, attn: General Supply Officer, Carville, Louisiana 70721

Director, USPHS Hospital, attn: General Supply Officer, 2050 Space Park Drive, Nassau Bay, TX 77058

Director, USPHS Hospital, attn: Office Services Manager, 210 State Street, New Orleans, Louisiana 70118

Director, USPHS Hospital, attn: Supply Officer, 6500 Hampton Boulevard, Norfolk, Virginia 23508

Director, USPHS Hospital, attn: General Services Officer, 15th Avenue and Lake Street, San Francisco, California 94118Director, USPHS Hospital, attn: General Supply Officer, 1131 14th Avenue, S., Seattle, Washington 98144

Director, USPHS Hospital, attn: Supply Management Officer, Bay Street & Vanderbilt Avenue, Staten Island, N.Y. 10304.

09–15–0004

System name: Federal Employee Occupational Health Data System. HHS/HSA/BMS.

Security classification: None.

System location: Bureau of Medical Services, 6525 Belcrest Road, Division of Federal Employee Occupational Health, W. Hyattsville, Maryland 20782.

Categories of individuals covered by the system: Federal employees enrolled in PHS/DFEOH Health Units.

Categories of records in the system: Health record derived data organized and presented for analysis and program planning purposes.

Authority for maintenance of the system: 5 U.S.C. 7901, 5 U.S.C. 8101, OMB Circular No. A–72.

Purpose(s): The system is designed to provide health record derived data for program analysis and planning purposes in a fashion to reduce the manual information processing workload unit physicians, nurses, and other health professionals.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: U.S. Department of Labor, Officer of Worker's Compensation Program, may be given access to files of those persons claiming compensation benefits due to personal injury while on the job.

Certain records may be disclosed to medical laboratories, medical consultants, or computer processing firms under service contract agreement. Recipients are required to maintain adequate safeguards with respect to such records.

In the event of a change in sponsorship of a PHS/DFEOH health care unit or in a case of mass transfer of employees covered by a PHS/DFEOH health care unit to one served by a non-departmental organization, the health records will be transferred to the custodianship of the new organization.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disc.

Retrievability: Name and Social Security numbers, which are supplied on a voluntary basis, are used for retrieval.

Safeguards: 1. Authorized Users: DFEOH personnel, health unit physicians, nurses, and other allied health professionals.

2. Physical Safeguards: Magnetic tapes, discs, and other computer equipment and computerized date are stored in areas where fire and life safety codes are strictly enforced. Twenty-four hour, 7-day security guards perform random checks on the physical security of the data. All documents are protected during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural Safeguards: A password is required to access the terminal and a data set name controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; HHS Ch 45–13 and Ch PHS.hf:45–13 of the General Administration Manual.

Retention and disposal: Number of years held at HSA—Permanently or until 5 years after record becomes inactive. Purged from computer and stored on computer tape for a period of 5 years after file becomes inactive.

System manager(s) and address: Director, Division of Federal Employee Occupational Health, Bureau of Medical Services, FCB No.3 6526 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists, write to the System Manager at the address above. Individuals must provide positive identification, such as driver's license, passport, voter registration card, union card, or a written certification verifying his or her identity. Individuals must provide treatment locations and approximate date of treatment. Requestors should also reasonably specify the record contents being sought. An individual who requests access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as notification procedures.

Contesting record procedures: Write to the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Information is obtained from the Federal employee; the x-ray, laboratory, and EKG contractors; physician and nurse notes; OWCP and personnel office.

Systems exempted from certain provisions of the act: None.

09–15–0005

System name: Dental Research-Evaluation of Restorative Materials. HHS/HSA/BMS.

Security classification: None.

System location: USPHS Hospital, 15th Avenue and Lake Street, San Francisco, California 94118.

Categories of individuals covered by the system: Retired Coast Guard, Seafarer, and uniformed service personnel who wished to participate in a research program utilizing dental restorative procedures.

Categories of records in the system: Dental history, treatment and progress notes, x-rays and laboratory prescriptions and patient consent forms.

Authority for maintenance of the system: Public Health Service Act, Section 321 (42 U.S.C. 248).

Purpose(s): To ascertain those factors which contribute to the longevity of dental restorative procedures and to provide a national basis for selection and use of restorative procedures which demonstrate superior longevity potential. If the subject is a PHS beneficiary, some information may be transferred from this system to his/her PHS dental record which is contained in the Patients Medical Record System PHS Hospital/Clinics HHS/HSA/BMS (09–15–007).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it

deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic disc, hard copies in file folders

Retrievability: Patient study number.

Safeguards: 1. Authorized Users: Immediate research staff, dental assistants and administrative personnel in the dental clinic.

2. Physical Safeguards: Magnetic tapes, discs, other competer equipment and other forms of computerized data are stored in areas where fire and life safety codes are strictly enforced. Twenty-four hour, 7-day security guards perform random checks on the physical security of the data. All documents are protected during lunch hours and nonworking hours in file cabinets or locked storage areas.

3. Procedural Safeguards: A password is required to access the terminal and a data set name controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; HHS Ch 45–13 and Ch PHS.hf:45–13 of the General Administration Manual and Part 6 of the Department's ADP Systems Manual.

Retention and disposal: Records held at hospital for 15 years or end of research project, after which records will be erased from magnetic tapes or discs, and hard copy data will be destroyed by shredding.

System manager(s) and address: Director, USPHS Hospital, Attention: Research Coordinator, 15th Avenue and Lake Street, San Francisco, California 94118.

Notification procedure: To determine the existence of a record, write to the system manager. Individual must provide positive identification, such as driver's license, passport, voter registration card, union card, or a written certification verifying his or her identity. An individual who requests access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. Requestors should also reasonably specify the record contents being sought.

Record access procedures: Same as notification procedures.

Contesting record procedures: Write to the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Patient and Dental care team.

Systems exempted from certain provisions of the act: None.

09–15–0006

System name: Cooperative Research Studies System: Coronary Artery Disease. HHS/HSA/BMS.

Security classification: None.

System location: USPHS Hospital, 210 State Street, New Orleans, LA 70118USPHS Hospital, 15th Avenue and Lake Street, San Francisco, CA 94118USPHS Hospital, Bay Street and Vanderbilt Ave., Staten Island, NY 10304

USPHS Hospital, 3100 Wyman Park Dr., Baltimore, Md. 21211.

Categories of individuals covered by the system: Male patients at Public Health Service Hospitals who agreed to participate in the project. Some of the patients were part of a control group. Data was collected from 1966–1975.

Categories of records in the system: Medical data including results of clinical examinations, laboratory tests, x-rays and ECGs.

Authority for maintenance of the system: Public Health Service Act, Sections 301, 321, (42 U.S.C. 241, 248).

Purpose(s): To evaluate the efficacy of several drugs which may influence the long term therapy of coronary heart disease of men, age 30–64.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record may be disclosed for a research purpose, when the Department:

(a) Has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) Has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) Has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) Has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Documents, magnetic tape, punch cards and hard copy.

Retrievability: Name; medical record number.

Safeguards: 1. Authorized Users: Research team, physicians, PHS statisticians, administrative personnel assigned to the research projects.

2. Physical Safeguards: Magnetic tapes, discs, other computer equipment and other forms of personal data are stored in areas where fire and life safety codes are stricIty enforced. Twenty-four hour, 7-day security guards perform random checks on the physical security of the data. All documents are protected during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural Safeguards: A password is required to access the terminal and a data set name controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office.

Retention and disposal: Retained for life of the study. Destroyed by shredding. Hard copies and punch cards destroyed by shredding. Magnetic tape is erased.

System manager(s) and address: Director, Bureau of Medical Services, 6525 Belcrest Rd., Hyattsville, Md. 20782.

Notification procedure: To determine if a record exists, write to the System Manager or to the facility where treatment was provided. Individual must provide positive identification, such as driver's license, passport, voter's registration card, union card, or a written certification verifying his or her identity. An individual who requests access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. Requesters should also reasonably specify the record contents being sought.

Record access procedures: Same as notification procedures.

Contesting record procedures: Write to the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Patient and patient's personal physician.

Systems exempted from certain provisions of the act: None.

09-15-0007

System name: Patients Medical Record System PHS Hospitals/Clinics. HHS/HSA/BMS.

Security classification: None.

System location: See appendices 1 and 2. Records are also located at Regional Federal Records Centers. (See Appendix 3).

Categories of individuals covered by the system: Individuals examined and/or treated at Public Health Service hospitals and clinics.

Categories of records in the system: Medical examination, diagnostic and treatment data, information for proof of eligibility, social data such as address and birthdate, disease registers such as tumor and surgical procedure registers, treatment logs, summaries and correspondence.

Authority for maintenance of the system: Public Health Service Act, Section 321 (42 U.S.C. 248).

Purpose(s): The purposes of this system are: To serve as a basis for planning patient care and for continuity in the evaluation of the patient's condition and treatment; to furnish documentary evidence of the course of the patient's medical evaluation, treatment and change in condition during the hospital stay, during an ambulatory care or emergency visit, or while being followed in a facility-based home care program; to document communications between the responsible practitioner and any other health professionals contributing to the patient's care and treatment; to assist in protecting the legal interests of the patient, the hospital or clinic and the responsible practitioners; and to provide data for use in facility management, continuing education, Department initiatives, quality assurance activities and research.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to:

(1) Any community health organization, government agency, private physician and/or company which has requested or arranged for an examination, treatment or care of an individual by the Bureau of Medical Services.

(2) Army, Navy, Air Force to report results of examination/treatment of uniformed service personnel and their dependents.

(3) Department of Transportation to report results of examination/treatment of uniformed service personnel and their dependents; and American seamen found to be suffering from conditions that render them hazardous to themselves or to others aboard ship;

(4) Department of Commerce to report results of examination/treatment of uniformed service and other personnel of that agency;

(5) Immigration and Naturalization Service to report results of examination/treatment of aliens examined and treated for and in behalf of that agency;

(6) Bureau of Prisons to report results of examination and treatment of patients examined and/or treated for and on behalf of the BP;

(7) Federal, State or private health benefit plans for billing purposes;

(8) U.S. Department of Labor, Office of Workers' compensation Program, for persons claiming compensation benefits due to personal injury while employed by the government;

(9) Organizations such as Joint Commission on Accreditation of Hospitals for accreditation of hospitals and clinics, and American Medical Association for accreditation of resident training programs. Medical records are used to document quality of service by health care providers.

(10) Health professions students serving an affiliation at the institution and their parent education program; students provide patient care and use medical records in performance of their duties.

(11) Non-agency physicians acting as consultants and laboratories performing tests for the continued care of the patient;

(12) Veterans Administration to assist uniformed service personnel, retirees and veterans to obtain medical care or benefits;

(13) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(14) Disclosure may be made to a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system; The contractor is required to maintain Privacy Act safeguards with respect to such records.

(15) A record may be disclosed for a research purpose, when the department: (a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained; (b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring; (c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the receipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law; (d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

(16) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review;

(17) Information regarding the commission of crimes or the reporting of occurrences of communicable diseases, tumors, child abuse, births, deaths, alcohol or drug abuse, etc. as may be required to be disclosed by health providers and facilities by State law or regulation of the Department of Health or other agency of the state or its subdivision in which the facility is located. Disclosures may be made to organizations as specified by the State law or regulation such as births and deaths to vital statistics agency and crimes to law enforcement agencies.

Disclosure of the contents of records which pertain to patient identity, diagnosis, prognosis or treatment of alcohol or drug abuse is restricted under the provisions of the Confidentiality of Alcohol and Drug Abuse Patient Records Regulations 42 CFR, Part 2, as authorized by 21 U.S.C. 1175 and 42 U.S.C. 4582, as amended by Pub. L. 93-282. To the extent possible, identical restrictions are applied to the disclosure of the contents of records pertaining to individuals with other programs who are participating in employee assistance or employee counseling programs.

(18) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with purpose for which the records were collected.

(19) To organizations or individuals with agreements to provide services to our facilities for the purpose of photocopying or abstracting medical record data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, magnetic tape, punch cards, microfilm.

Retrievability: Indexed by name, register number, number control register, disease and operation, uniformed services service number which is the social security number. Those records indexed by SSN are retrieved in accordance with Sec. 7(a)(2)(B) of the Privacy Act.

Safeguards: 1. Authorized Users: Health care practitioners, and other allied health personnel, medical and allied health students and administrative personnel for determination of eligibility for care and facility management; qualified research personnel with approved protocol; DHHS, Commissioned Personnel Operation Division; and PHS Claims Officer.

2. Physical Safeguards: Magnetic tapes, discs, other computer equipment and other forms of personal data are stored in areas where fire and life safety codes are strictly enforced. Twenty-four hour, 7-day security guards perform random checks on the physical security of the data. All documents are protected during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural Safeguards: A password is required to access the terminal and a data set name controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; HHS Ch 45-13 and Ch PHS.hf:45-13 of the General

Administration Manual; and Part 6 of the Department's ADP Systems Manual.

Retention and disposal: Number of years held at HSA (since 1970)—5 years after last activity. Number of years held at Federal Record Center (See Appendix 3) before disposal—50 years active duty uniformed service personnel, 25 years all others. How destroyed: The disposal standard for these records may be obtained by writing to the System Manager at the address below.

System manager(s) and address: Director, Bureau of Medical Services Director, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure: To determine the existence of a record, write to the facility where treatment or service was rendered. Individual must provide positive identification, such as driver's license, passport, voter's registration card, union card, or a written certification verifying his or her identity. An individual who requests access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. A parent or guardian who requests notification of access to a child's/incompetent person's record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child/incompetent person as well as his/her own identity. Requesters should also reasonably specify the record contents being sought.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Individual, health care personnel, other hospitals and physicians, employers, social agencies, maritime unions, shipping companies.

Systems exempted from certain provisions of the act: None.

Appendix 1

Director, USPHS Hospital, 3100 Wyman Park Drive, Baltimore, Maryland 21211
Director, USPHS Hospital, 77 Warren Street, Boston (Brighton), Massachusetts 02135
Dirctor, USPHS Hospital, 2050 Space Park Drive, Nassau Bay, TX 77058
Director, USPHS Hospital, 210 State Street, New Orleans, Louisiana 70118
Director, USPHS Hospital, 6500 Hampton Boulevard, Larchmont, Norfolk, Virginia 23508
Director, USPHS Hospital, 15th Avenyue and Lake Street, San Francisco, Calfiornia 94118
Director, USPHS Hospital, Box 3145, or 1131 14th Avenue South, Seattle, Washington 98144
Director, USPHS Hospital, Bay Street and Vanderbilt Avenue, Staten Island, New York 10304
Director, USPHS Hospital, Carville, Louisiana 70721
Director, Public Health Service Health Data Center, 10000 Aerospace Road, Warehouse No. 1, Lanham, Maryland 20706

Appendix 2

Director, USPHS outpatient clinic, 1600 Clifton Road, N.E., Atlanta, Georgia 30333
Director, USPHS Outpatient Clinic, 50 High Street, R. 609, Buffalo, New York 14203
Director, USPHS Outpatient Clinic, 214 Federal Building, 334 Meeting Street, Charleston, S.C. 29403
Director, USPHS Outpatient Clinic, 1439 S. Michigan Avenue, Chicago, Illinois 60605
Director, USPHS Outpatient Clinic, U.S. Post Office and Courthouse, 5th and Walnut Street, Cincinnati, Ohio 45202
Director, USPHS Outpatient Clinic, 1313 Superior Avenue, Cleveland, Ohio 44114
Director, USPHS Outpatient Clinic, 3100 East Jefferson Ave., Detroit, Michigan 48207
Director, USPHS Outpatient Clinic, Box 1410, or 591 Ala Moana Boulevard, Honolulu, Hawaii 96807
Director, USPHS Outpatient Clinic, 204 U.S. Customs Building, 701 San Jacinto Street, Houston, Texas 77002
Director, USPHS Outpatient Clinic, Box 4788 or Suite 118, Post Office Bldg., 311 West Monroe Street, Jacksonville, Florida 32201
Director, USPHS Outpatient Clinic, 969 Madison Avenue, Memphis, Tennessee 38104
Director, USPHS Outpatient Clinic, 51 S.W. 1st Avenue, Room 712, Miami, Florida 33130
Director, USPHS Outpatient Clinic, 125 Federal Building, Mobile, Alabama 36602
Director, USPHS Outpatient Clinic, 245 West Houston Street, New York, New York 10014
Director, USPHS Outpatient Clinic, Room 700, US Customs House, 2nd & Chestnut Sts., Philadephia, Pa. 19106.
Director, USPHS Outpatient Clinic, U.S. Post Office and Courthouse, 7th Avenue and Grant Street, Pittsburgh, Pa. 15219
Director, USPHS Outpatient Clinic, 209 Federal Office Building, 5th Street and Austin Avenue, Port Arthur, Texas 77640
Director, USPHS Outpatient Clinic, 331 Veranda Street, Portland, Maine 04103
Director, USPHS Outpatient Clinic, 220 Courthouse, Broadway and Main Street, Portland, Oregon 97205
Director, USPHS Outpatient Clinic, 1520 Market Street, St. Louis, Missouri 63103
Director, USPHS Outpatient Clinic, 2105 Fifth Avenue, San Diego, California 92101
Director, USPHS Outpatient Clinic, 8½ Fernandex Juncos Avenue, San Juan, Puerto Rico 00904
Director, USPHS Outpatient Clinic, 825 S. Beacon Street, San Pedro, California 90731
Director, USPHS Outpatient Clinic, 1602 Drayton Street, Savannah, Georiga 31402
Director, USPHS Outpatient Clinic, 601 Florida Avenue, Tampa, Florida 33601
Director, USPHS Outpatient Clinic, Switzer Bldg., 4th and C Streets SW., Washington, D.C. 20201

Appendix 3—Federal Records Centers

Areas Served

Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island
Federal Archives & Records Center, GSA, 380 Trapelo Road, Walthan, MA 02154
New York, New Jersey, Puerto Rico, the Virgin Islands, and the Panama Canal Zone
Federal Archives & Records Center, GSA, Military Ocean Terminal, Bldg. 22, Bayonne, NJ 07002
Delaware and Pennsylvania east of Lancaster
Federal Archives & Records Center, GSA, 5000 Wissahickon Avenue, Philadelphia, PA 19144.
Pennsylvania except areas east of Lancaster
Federal Records Center, Defense Activities, Bldg. 308, Mechanicsburg, PA 17055
District of Columbia, Maryland, Virginia, and West Virginia
Washington National Records Center, GSA, Washington, DC 20409
North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky
Federal Archives & Records Center, GSA, 1557 St. Joseph Avenue, East Point, GA 30344
Illinois, Wiconsin, and Minnesota
Federal Archives and Records Center, GSA, 7358 South Pulaski Road, Chicago, IL 60629
Indiana, Michigan, and Ohio
Federal Records Center, GSA, 3150 Bertwynn Drive, Dayton, OH 45439
Kansas, Iowa, Nebraska, and Missouri (except greater St. Louis area)
Federal Archives and Records Center, 2306 East Banister Road, Kansas City, MO 64131
Greater St. Louis, (Missouri area)
National Personnel Records Center, GSA (Civilian Personnel Records), 111 Winnebago Street, St. Louis, MO 63118
Texas, Oklahoma, Arkansas, Louisiana, and New Mexico
Federal Archives & Records Center, GSA, 4900 Hemphill Street, Building 1, Dock 1 (Shipping address) P.O. Box 6216, (mailing only address) Fort Worth, TX 76115
Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota
Federal Archives and Records Center, Bldg. 48, Denver Federal Center, P.O. Box 25307, Denver, Colorado 80225
Nevada (except Clark County), California (except Southern California), and American Samoa
Federal Archives & Records Center, GSA, 1000 Commodore Drive, San Bruno, CA 94066
Clark County Nevada, Southern California (Counties of: San Luis Obispo, Kern, San Bernadino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego), and Arizona

Federal Archives & Records Center, GSA, 2400 Avila Road, Laguas Niguel, CA 92677
Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean Area (except American Samoa)
Federal Archives & Records Center, GSA, 6125 Sand Point Way, Seattle, Wash. 98115.

09–15–0008

System name:
Emergency Non-PHS Treatment Authorization File. HHS/HSA/BMS.

Security classification:
None.

System location:
See Appendices 1 and 2 to system notice 09–15–0007, Patients Medical Record System PHS Hospital/Clinics HHS/HSA/BMS.

Categories of individuals covered by the system:
Individuals who are eligible for emergency care paid for by the Public Health Service at non-Service medical facilities and who have had such care.

Categories of records in the system:
Eligibility information and reasons for emergency care.

Authority for maintenance of the system:
Public Health Service Act, Section 321 (42 U.S.C. 248).

Purpose(s):
To determine eligibility for medical care by PHS; to document expenditure of public funds; to review and evaluate the quality of medical care.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Disclosure may be made to insurance companies for third party reimbursement.
Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
In the event of litigation where the defendant is (a) the Department, any component of the Department, any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Document files.

Retrievability:
Name.

Safeguards:
1. Authorized Users: Administrative officials, physicians, or other health care professionals; financial management personnel, BMS; HHS Audit Agency for audit purposes.
2. Physical Safeguards: All documents are protected during lunch hours and nonworking hours in locked file cabinets and locked storage areas.
3. Procedural Safeguards: All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; and HHS Ch 45–13; and Ch PHS.hf:45–13 of the General Administration Manual.

Retention and disposal:
Number of years held at HSA: Until audited by HHS Audit Agency. Then destroyed by shredding or in incinerator.

System manager(s) and address:
Director, Bureau of Medical Services, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure:
To determine the existence of a record, write to the facility where treatment or service was rendered. Individual must provide positive identification, such as driver's license, passport, voter's registration card, union card, or a written certification verifying his or her identity. Requesters should also reasonably specify the record contents being sought.

Record access procedures:
Same as notification procedures.

Contesting record procedures:
Contact the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories:
Individual or someone acting in his/her behalf, and providers of medical care.

Systems exempted from certain provisions of the act:
None.

09–15–0009

System name: Cooperative Research Studies System: Pyelonephritis. HHS/HSA/BMS.

Security classification: None.

System location: See Appendix 1 to system notice 09–15–0007, Patients Medical Record System PHS Hospitals/Clinics HHS/HSA/BMS.

Categories of individuals covered by the system: Patients at Public Health Service Hospitals who have agreed to participate in the project.

Categories of records in the system: Medical data including clinical and laboratory evaluation.

Authority for maintenance of the system: Public Health Service Act, Section 321 (42 U.S.C. 248).

Purpose(s): To determine the efficacy of certain medication to prevent recurrent urinary tract infections.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring.

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Disclosure may be made to a private firm for the purpose of collating, analyzing, aggregating, or otherwise refining records in this system. The contractor is required to maintain Privacy Act safeguards with respect to such records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Documents, magnetic tape, punch cards and hard copy.

Retrievability: Study number, name, hospital register number.

Safeguards: Authorized Users: Research team, physicians, PHS statisticians, administrative personnel assigned to the research projects.

2. Physical Safeguards: Magnetic tapes, discs, other computer equipment and other forms of personal data are stored in areas where fire and life safety codes are strictly enforced. Twenty-four hour, 7-day security guards perform random checks on the physical security of the data.

3. Procedural Safeguards: A password is required to access the terminal and a data set name controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; HHS Ch 45–13 and Ch PHS.hf:45–13 of the General Administration Manual; and Part 6 of the Department's ADP Systems Manual.

Retention and disposal: Retained for life of research project. Then hard copies and punch cards are destroyed by shredding. Magnetic tapes are erased.

System manager(s) and address: Director, Bureau of Medical Services, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure: To determine the existence of a record, write to the facility where treatment or service was rendered. Individual must provide positive identification, such as driver's license, passport, voter's registration card, union card, or a written certification verifying his or her identity. An individual who requests access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. Requesters should also reasonably specify the record contents being sought.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Individual and medical care system.

Systems exempted from certain provisions of the act: None.

09–15–0010

System name: Cooperative Research Studies System: Essential Hypertension. HHS/HSA/BMS.

Security classification: None.

System location: See Appendix 1 to system notice 09–15–0007, Patients Medical Record System PHS Hospitals/Clinics HHS/HSA/BMS.

Categories of individuals covered by the system: Cross-section of PHS beneficiaries and Federal employees who volunteered to participate in the research project.

Categories of records in the system: Medical data (clinical examinations).

Authority for maintenance of the system: Public Health Service Act, Section 321 (42 U.S.C. 248).

Purpose(s): Clinical trial to study the benefits of treating mild hypertension in middle age adults.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

Disclosure may be made to a private firm for the purpose of collating, analyzing, aggregating, or otherwise refining records in this system. The contractor is required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Documents, magnetic tape, punch cards, and hard copies.

Retrievability: Study number, name, hospital register number.

Safeguards: 1. Authorized Users: Research team, physicians, PHS statisticians, administrative personnel assigned to the research projects.

2. Physical Safeguards: Magnetic tapes, discs, other computer equipment and other forms of personal data are stored in areas where fire and life safety codes are strictly enforced. Twenty-four hour, 7-day security guards perform random checks on the physical security of the data. All documents are protected during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural Safeguards: A password is required to access the terminal and a data set name controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; HHS Ch 45–13 and Ch PHS.hf:45–13 of the General Administration Manual; and Part 6 of the Department's ADP Systems Manual.

Retention and disposal: Retained for the life of the research study. Then computer tape erased and hard copy documents and punched cards shredded.

System manager(s) and address: Director, Bureau of Medical Services, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure: To determine the existence of a record, write to the System Manager above and provide treatment location. Individual must provide positive identification, such as driver's license, passport, voter's registration card, union card, or a written certification verifying his or her identify. An individual who requests access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. Requesters should also reasonably specify the record contents being sought.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Individual and medical care system.

Systems exempted from certain provisions of the act: None.

09–15–0018

System name: Unofficial Vital Records System. HHS/HSA/IHS.

Security classification: None.

System location: Indian Health Service Area and Program Offices.

Categories of individuals covered by the system: American Indian and Alaskan Native birth records.

Categories of records in the system: Birth information. The records include paper copies or microfilm images of State records or machine readable data prepared by the State from records collected under the laws of each State for births. The records contain the demographic characteristics of individuals associated with each event. In addition the birth records include information on the characteristics of each live birth, the health status of the infant, and socioeconomic characteristics of the parents.

Authority for maintenance of the system: Public Health Service Act Section 321 (42 U.S.C. 258, 2001 et seq.).

Purpose(s): Used in health care program development, analysis, and evaluation. Birth record is an unofficial copy of the State record which is used internally for aggregate statistical and planning purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the unofficial birth record of a subject individual in response to an inquiry from the congressional office made at the request of the subject individual. Such disclosure will be made in conjunction with notification that the birth record is an unofficial copy of the State Record, thus it must be verified by the State Health Department from which the record came.

In the event of litigation where the defendant is (a) the Department, any component of the Department or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. Such disclosure will be made in conjunction with notification that the birth record is an unofficial copy of the State Record, thus it must be verified by the State Health Department from which the record came.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders in file cases; microfilm reels, computer cards and tapes.

Retrievability: Indexed by date of event, mother's name, state, and county of occurrence and residence.

Safeguards: Stored in locked files and cabinets, located in secured areas. Only authorized individuals in the performance of their official duties are granted access to locked areas. Authorized individuals include maternal and child health personnel, health planners, statisticans, epidemiologists, demographers, and others concerned with problems of health, health care, and health hazards. Safeguards developed are in accordance with DHHS Administration Manual, Part 45, Chapter 45-13 and PHS.hf: 45-13.

Retention and disposal: Number of years held at IHS: Varies by IHS area from 1 year to permanently. How destroyed: Burned or shredded.

System manager(s) and address: See Appendix.

Notification procedure: To determine if a record exists, write to the official at the appropriate address specified in the appendix. Supply date of birth, place of birth, father's name, and mother's maiden name.

Record access procedures: Same as notification procedures.

Contesting record procedures: Write to the official at the address specified in the appendix and reasonably identify the record, specify the information to be contested, and state the corrective action sought. The information contested may only be changed in the unofficial vital records system and the State must be notified separately to change the official documents.

Record source categories: Source documents are obtained from State vital statistics offices and other jurisdictions. Information sources include parent(s) as well as the medical care provider.

Systems exempted from certain provisions of the act: None.

Appendix:

Director, Aberdeen Area Indian Health Service, Federal Building, 115 Fourth Avenue SE., Aberdeen, South Dakota 57401, Attn: Chief, Maternal and Child Health Branch

Director, Albuquerque Area Indian Health Service, Room 4005, Federal Office Building, 500 Gold Avenue, SW., Albuquerque, New Mexico 87101, Attn: Chief, Program Analysis & Statistics Br.

Director, Alaska Area Native Health Service, P.O. Box 7-741, Anchorage, Alaska 99510, Attn: Chief, Office of Systems Development

Program Director, Bemidji Program Office, Indian Health Service, 203 Federal Building, Box 768, Bemidji, Minnesota 56601, Attn: Privacy Act Coordinator

Director, Billings Area Indian Health Service, P.O. Box 2143, Billings, Montana 59103, Attn: Area Program Planning & Statistics Office

Director, Navajo Area Indian Health Service, P.O. Box G, Window Rock, Arizona 86515, Attn: Chief, Maternal and Child Health Br.

Director, Oklahoma City Area Indian Health Service, 388 Old Post Office and Court House Building, Oklahoma City, Oklahoma 73102-3477, Attn: Chief, Program Analysis & Statistics Br.

Director, Phoenix Area Indian Health Service, 801 East Indian School Road, Phoenix, Arizona 85014, Attn: Director, Office of Program Planning

Director, Portland Area Indian Health Service, Room 476, Federal Building, 1220 Southwest Third, Portland, Oregon 97204-2892, Attn: Chief, Program Planning & Statistics

Program Director, United Southeastern Tribes, Indian Health Service, Oak Towers Building, 1101 Kermit Drive, Nashville, Tennessee 37217-2191, Attn: Privacy Act Coordinator

Director, Tucson Program Office, Indian Health Service, P.O. Box 11340, Tucson, Arizona 85734, Attn: Chief, Community Health Status Surveillance

Director, California Program Office, Indian Health Service, 2800 Cottage Way, E-1831, Sacramento, California 95825, Attn: Privacy Act Coordinator

09-15-0019

System name: Health and Medical Records Systems, HHS/HSA/IHS.

Security classification: None.

System location: Indian Health Service (IHS) hospitals, health centers, school health centers, health stations, field clinics, Service Units, Area and Program Offices (Appendix 1), and Regional Federal Records Centers (Appendix 2). Records may be located at hospitals and offices of health care providers who are under contract to IHS. A current list of contractor sites is available by writing to the appropriate System Manager (Area or Service Unit Director) at the address shown in Appendix 1.

Categories of individuals covered by the system: Individuals examined/treated by IHS staff and by contract health care providers.

Categories of records in the system: Health and medical information including examination, diagnostic and treatment data, information for proof of eligibility, social data, disease registers, commitment registers, communicable disease registers, special program and/or discipline patient profiles and research studies, statistical summaries, contract care records, surgical logs, laboratory findings, emergency room logs, operation and/or disease index, nutrition and dietetic files, patients' social service/mental health care records, dental, nursing and eye care program files, delivery room logs, health care records, mental health files, obstetrical logs, child abuse and neglect registers, immunization registers, crippled children or handicapped children registers, hearing aid users file cards, detoxification case records, etc.

Authority for maintenance of the system: Public Health Service Act Section 321 (42 U.S.C. 248); 42 U.S.C. 2004a; Indian Self Determination and Education Assistance Act (25 U.S.C. 450); Snyder Act (25 U.S.C. 13); Health Care Improvement Act (25 U.S.C. 1601 et seq.); Construction of Community Hospitals Act (25 U.S.C. 2005-2005f); and the Indian Health Service Transfer Act (25 U.S.C. 2001-2004).

Purpose(s): Records retrieved in individually identifiable form provide a description of the patient's illness, treatment administered, and the results achieved. Over time this record serves as a medical history of the total health care and medical treatment received by the individual. These records: assist in planning for further care of the patient; are an accurate record of the patient's health status, services received and recommeded; serve as a basis for planning future health programs; serve as a means of communication among members of the health care team who contribute to the patient's care;serve as a legal document of health care rendered; serve as a tool in evaluating quality of health care rendered; are used for research and continuing education.

Individually identifiable records may be released to the following two components of the Department of Health and Human Services for the purposes stated:

to the National Centers for Disease Control for their surveillance of various communicable diseases among persons residing within the United States;

to the National Institutes of Health for their review of the prevalence of particular diseases (i.e., malignant neoplasms, diabetes mellitus, arthritis, metabolism and digestive diseases) for various ethnic groups of the Nation.

A by-product of the information contained in this system of records is program health statistics which is used by IHS to evaluate the effect of the IHS health care delivery program.

Aggregated program statistics, which maintain the privacy of the subject individuals, may be provided by IHS upon request to the following components of the Department of Health and Human Services (HHS) for the purposes stated below. (Please note that this list is not all inclusive, as other entities of HHS may be provided aggregated statistics on a one-time need-to-know basis). Specifically, aggregated statistics may be provided:

to the National Center for Health Statistics, HHS, for its dissemination of aggregated health statistics for various ethnic groups of the Nation;

to the Assistant Secretary for Population Affairs for tracking of sterilizations provided through the use of Federal funds;

to the Health Care Financing Administration for the preparation of analytical studies related to Medicare and Medicaid reimbursement;

to the Office of the Assistant Secretary for Health and the Office of the Administrator of the Health Services Administration for program planning and review purposes;

to the Bureau of Community Health Services (BCHS), HSA, to assist in the designation of geographic locations in which BCHS may provide funds for the establishment of health care programs to improve the health status of the American Indian and Alaskan Native population.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Records in part or total may be disclosed to state, local or other authorized organizations which provide health services to American Indians and Alaskan Natives for the purpose of planning for or providing such services, billing third parties for the payment of care, and reporting results of medical examination, care and treatment.

2. Records in part or total may be disclosed to federal and non-federal school systems which serve American Indians and Alaskan Natives for the purpose of student health maintenance. Response to the request for disclosure will be based upon the subject matter being requested, the justification for its receipt, and the manner in which it will be used so as to protect its confidential nature. Disclosure will not be made unless the patient's right to privacy will be protected by the recipient of the information.

3. Records in part or total may be disclosed to organizations deemed qualified by the Secretary to carry out quality assessment, medical audits, or utilization review.

4. Records in part or total may be disclosed to authorized organizations or individuals for conduct of analytical and evaluation studies sponsored by the Indian Health Service.

5. Records in part or total may be disclosed to a congressional office in response to an inquiry from that office made at the request of the subject individual.

6. A record may be disclosed for a research purpose, when the Department:

(a) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use of disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

7. Information regarding the commission of crimes or the reporting of occurrences of communicable diseases, child abuse, births, deaths, alcohol or drug abuse, etc. may be disclosed by health providers and facilities to State and local agencies as required by State and local law.

8. Disclosure of the contents of records of individuals indicating alcohol or drug abuse which pertain to patient identity or the diagnosis, prognosis or treatement of alcohol or drug abuse is restricted under the provisions of the Confidentiality of Alcohol and Drug Abuse Patient Records Regulations 42 CFR, Part 2, as authorized by 21 U.S.C. 1175 and 42 U.S.C. 4582, as amended by Pub. L. 93–282.

9. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee is his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, ledgers, card files, microfiche, microfilm, punch cards, computer tapes, disc packs, and automatic or open shelf files.

Retrievability: Indexed by name, record number, and Social Security Number (SSN) and cross-indexed. SSN is supplied on a voluntary basis.

Safeguards: All personnel including IHS personnel, IHS contractors and sub-contractors who are involved with this system are made aware of their responsibilities under the provisions of the Privacy Act and are required to maintain Privacy Act safeguards with respect to such records. Access is limited to authorized personnel in the performance of their duties. (Authorized personnel include medical records personnel, health care providers, management personnel, authorized contractors, researchers, medical audit personnel and health care team members.) A list of personnel or categories of personnel having a demonstrable need for the records in the performance of their duties have been developed and are maintained. Procedures have been developed and implemented to review one-time requests for disclosure to personnel who may not be on the routine disclosure list. Records are not removed from the area in which they are maintained in the absence of proper charge-out procedures. Record storage areas, including file cabinets in offices, are not left unattended during office hours, including lunch hours. Persons who have a need to know are entrusted with records from this system of records and are instructed to safeguard the confidentiality of these records and to return such records when the need to know has expired. Instructions include the statutory penalties for noncompliance. Before an employee who will control disclosure of records can work with the records (i.e., employees who report to the system manager) the system manager or designee ensures that the employee has received training in the safeguards applicable to the records and is aware of the actions to take to restrict disclosure. Records are kept in locked metal filing cabinets or in a secured room at all times when not actually in use during working hours and at all times during nonworking hours. All other personally identifiable records are kept in closed containers (e.g., filing cabinets) at all times when not in actual use during working hours and at all times during nonworking hours. When copying records for authorized purposes, care is taken to ensure that any imperfect pages are not left in the reproduction room where they can be read, but are destroyed or obliterated. The safeguards described above for manual records in this system are in compliance with DHHS Chapter 45–13 in the General Administration Manual, and Supplemental Chapter PHS.hf:45–13, "Safeguarding Records Contained in Systems of Records". All requirements for the operation of an automated system of records as specified in Part 6 of the Department's ADP Systems Manual, "ADP System Security Policy" are enforced. In this regard magnetic tapes, discs, other computed equipment and other forms of personal data are stored in areas where fire and life safety codes are strictly enforced. A password is required to access terminal and a data set name controls the release of data to only authorized users.

Retention and disposal:

Active records are maintained in the facility providing health services. For selected IHS health stations the record is stored in the facility to which the health station is administratively assigned. (See Appendix 1 for the mailing addresses of IHS facilities at which records in this system are stored and the mailing addresses for the system managers for this system.) Basic source statistical documents are maintained in IHS Area and Program Offices permanently. Inactive records at the facility are held from three to seven years and then are transferred to the appropriate Federal Records Center. (See Appendix 2 for Federal Record Centers). Records are retained at the Federal Records Centers 50 years for active duty uniformed services personnel; 25 years for all others. How destroyed: According to Federal Record Center practices.

System manager(s) and address: See Appendix 1. The IHS Area/Program Office Directors and Service Unit Directors listed in Appendix 1 are System Managers. Other addresses listed in Appendix 1 are IHS facilities at which records are stored.

Notification procedure: Requests must be made to the appropriate System Manager (IHS Area/Program Office Director or Service Unit Director) listed in Appendix 1. An individual who requests notification of, or access to, a medical record shall at the time the request is made designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Requests in person: A subject individual who appears in person at a specific location seeking access or disclosure of medical/dental records relating to him/her shall provide his/her name, current address, and at least one piece of tangible identification such as driver's license, passport, voter registration card, or union card. Identification papers with current photographs are preferred but not required. If a subject individual has no identification but is personally known to an agency employee, such employee shall make a written record verifying the subject individual's identity. Where the subject individual has no identification papers, the responsible agency official shall require that the subject individual certify in writing that he/she is the individual whom he/she claims to be and that he/she understands that the knowing and willful request or acquisition of records concerning an individual under false pretenses is a criminal offense subject to a 5,000 fine. In some situations additional identification may be requested. Some examples include the request for access to (1) records which contain sensitive information, (2) different records for persons with the same name, and (3) records which contain an apparent discrepancy between information contained in the record and that provided by the individual requesting access to the record. No verification of identity shall be required where the record is one which is required to be disclosed under the Freedom of Information Act.

Other names used: Where an individual is seeking to obtain information about himself/herself which may be retrieved by a different name or identifier than his/her current name or identifier, he/she shall be required to produce evidence to verify that he/she is the person whose record he/she seeks.

Requests by mail: Requests for information and/or access to records received by mail must contain information providing the identity of the writer and a reasonable description of the record desired. Written requests must contain the name and address of the requester, his/her date of birth and at least one piece of information which is also contained in the subject record, and his/her signature for comparison purposes. Where the written request does not contain sufficient information, the Systems Manager shall inform the requester in writing that additional, specified information is required to process the request.

Requests by telephone: Since positive identification of the caller cannot be established, telephone requests are not honored.

Parents and legal guardians: Parents of minor children and legal guardians of legally incompetent individuals shall verify their own identification in the manner described above, as well as their relationship to the individual whose record is sought. A copy of the child's birth certificate or court order shall be presented. Minors or individuals who have been declared to be legally incompetent may have their rights under the Privacy Act invested in their parents or legal guardians. Individuals acting in loco parentis to minors, parents, legal guardians, and custodians may act on behalf of the individual for purposes of giving consent for disclosure and being informed of the purposes for which records are maintained. This provision is discretionary, and individuals who are minors are authorized to exercise the right given to them by the Privacy Act. The disclosure to parents, guardians, or individuals in loco parentis will be balanced with programs (i.e., family planning, disease prevention, treatment or containment) which by implication or expressed terms promised confidentiality. Such implied or expressed promises of confidentiality will be honored. State laws with respect to emancipated minors, will also be considered.

Signature: Where an individual is unable to sign his/her name when required, he/she shall make his/her mark and have the mark verified in writing by two additional persons.

Record access procedures:

Same as Notification Procedure.

Contesting record procedures: Write to the appropriate IHS Area/Program Office Director or Service Unit Director at the address specified in Appendix 1 and reasonably identify the record, specify the information being contested, and state the corrective action sought.

Record source categories:

Patient and/or family members, and health care personnel.

Systems exempted from certain provisions of the act:

None.

Appendix 1

Director, Aberdeen Area Indian Health Service, Federal Building, 115 Fourth Avenue, S.E., Aberdeen, South Dakota 57401, ATTN: Chief, Health Records Branch

Director, Rapid City Service Unit, Rapid City Indian Hospital, Rapid City, South Dakota 57701

Director, Cheyenne River Service Unit, Eagle Butte Indian Hospital, Eagle Butte, South Dakota 57625

Director, Swiftbird Correctional Institution, Indian Health station, Gettysburg, South Dakota 57442

Director, Fort Berthold Service Unit, Minni-Tohe Indian Health Center, New Town, North Dakota 58763

Director, Fort Totten Service Unit, Fort Totten Indian Health Center, Fort Totten, North Dakota 58335

Director, Pine Ridge Service Unit, Pine Ridge Indian Hospital, Pine Ridge, South Dakota 57770

Officer in Charge, Wanblee Indian Health Center, Wanblee, South Dakota 57577

Director, Rosebud Service Unit, Rosebud Indian Hospital, Rosebud, South Dakota 57570

Director, Sisseton-Wahpeton Service Unit, Sisseton Indian Hospital, Sisseton, South Dakota 57262

Director, Flandreau Indian School Health Center, Flandreau, South Dakota 57028

Director, Wahpeton Indian School Health Center, Wahpeton, North Dakota 58075

Director, Standing Rock Service Unit, Fort Yates Indian Hospital, Fort Yates, North Dakota 58538

Director, McLaughlin Indian Health Center, McLaughlin, South Dakota 57642

Director, Turtle Mountain Service Unit, Belcourt Indian Hospital, Belcourt, North Dakota 58316

Director, Omaha-Winnebago Service Unit, Winnebago Indian Hospital, Winnebago, Nebraska 68071

Director, Yankton-Wagner Service Unit, Wagner Indian Hospital, Wagner, South Dakota 57380

Director, Santee Indian School Health Station, Niobrara, Nebraska 68760

Director, Bemidji Program Office, Indian Health Service, 203 Federal Building, Bemidji, Minnesota 56601, ATTN: Program Office Privacy Act Coordinator

Director, Kincheloe Indian Health Center, Kinross, Minnesota 49788

Director, Greater Leach Lake Service Unit, Cass Lake Indian Hospital, Cass Lake, Minnesota 56633

Director, Lac Courte Oreille Service Unit, Indian Health Service, P.O. Box 733, Hayward, Wisconsin 54843

Director, Reserve Indian Health Station, c/o Director, Lac Courte Oreille Service Unit, Indian Health Service, P.O. Box 733, Hayward, Wisconsin 54843

Director, Odenah Indian Health Station, Odenah, Wisconsin 54861

Director, Nett Lake Indian Health Station, Nett Lake, Minnesota 55772

Director, Red Lake Service Unit, Red Lake Indian Hospital, Red Lake, Minnesota 56671

Director Ponemah Indian Health Station, Ponemah, Minnesota 56666

Director, White Earth Service Unit, White Earth Indian Health Center, White Earth, Minnesota 56591

Director, Naytahwaush Indian School Health Station, Naytahwaush, Minnesota 56566

Director, Ponsford Indian School Health Station, Ponsford, Minnesota 56575

Director, Alaska Area Native Health Service, P.O. Box 7-741, Anchorage, Alaska 99510, ATTN: Chief, Health Records Branch
Director, Anchorage Service Unit, PHS Alaska Native Medical Center, P.O. Box 7-741 Anchorage, Alaska 99510
Director, Alaska Native Health Center, St. George Island, Alaska 99660
Director, Alaska Native Health Center, St. Paul Island, Alaska 99660
Director, Barrow Service Unit, Barrow Alaska Native Hospital, Barrow, Alaska 99723
Director, Bristol Bay Area Service Unit, Bristol Bay Area Alaska Native Hospital, Dillingham, Alaska 99576
Director, Interior Alaska Service Unit, Alaska Native Health Center, 1638 Cowless Street Fairbanks, Alaska 99701
Director, Tanana Alaska Native Hospital, Tanana, Alaska 99777
Director, Fort Yukon Alaska Native Health Center, Fort Yukon, Alaska 99740
Director, Kotzebue Service Unit, Kotzebue Alaska Native Hospital, Kotzebue, Alaska 99752
Director, Mt. Edgecumbe Service Unit, Mt. Edgecumbe Alaska Native Hospital, P.O. Box 4577, Sitka, Alaska 99835
Director, Juneau Alaska Native Health Center, Box 890, Juneau, Alaska 99802
Director, Ketchikan Alaska Native Health Center, 3289 Tongass Avenue, Ketchikan, Alaska 99901
Physician's Assistant, Metlakatla Alaska Native Health Center, Box 119, Metlakatla, Alaska 99926
Director, Yukon-Kuskokwim-Delta Service Unit, Yukon-Kuskokwim-Delta Regional Hospital, Indian Health Service, Bethel, Alaska 99559
Director, Albuquerque Area Indian Health Service, Room 4005, Federal Office Building, 500 Gold Avenue, S.W., Albuquerque, New Mexico 87101, ATTN: Chief, Health Records Branch
Director, Albuquerque Service Unit, Albuquerque Indian Hospital, 801 Vassar Drive, N.E., Albuquerque, New Mexico 87106
Director, Isleta Indian Health Center, c/o Albuquerque Indian Hospital—Field Health, 801 Vassar Drive, N.E., Albuquerque, New Mexico 87106
Director, Jemez Indian Health Center, c/o Albuquerque Indian Hospital—Field Health, 801 Vassar Drive, N.E., Albuquerque, New Mexico 87106
Chief, Dental Program, IHS Dental Training Center, Southwestern Indian Polytechincal Inst., 9168 Coors Road, N.W., P.O. Box 25927, Albuquerque, New Mexico 87125
Director, Indian School Health Center, Southwestern Indian Polytechnical Inst., 9168 Coors Road, N.W., P.O. Box 25927, Albuquerque, New Mexico 87125
Director, Alamo Indian Health Station, Alamo, New Mexico 87825
Director, Albuquerque Indian School Health Station, 1000 Menual S.W., Albuquerque, New Mexico 87107
Director, Magdalena Indian Health Station, Magdalena, New Mexico 87825
Director, Sandia Indian Health Station, Sandia, New Mexico 87047
Director, Santa Ana Indian Health Station, P.O. Box 580, Bernalillo, New Mexico 87001
Director, Zia Indian Health Station, General Delivery, San Ysidro, New Mexico 87053
Director, Mescalero Service Unit, Mescalero Indian Hospital, P.O. Box 210, Mescalero, New Mexico 88340
Director, Santa Fe Service Unit, Santa Fe Indian Hospital, Cerrillos Road, Santa Fe, New Mexico 87501
Director, Dulce Indian Health Center, Dulce, New Mexico 87528.
Director, Ignacio Indian Health Center, Ignacio, Colorado 81137
Director, Taos Indian Health Center, Taos, New Mexico 87571
Director, Towaoc Indian Health Center, Towaoc, Colorado 81334
Director, Santa Clara Indian Health Station, P.O. Box 477, Espanola, New Mexico 87532
Director, Santo Domingo Indian Health Station, Santo Domingo, New Mexico 87052
Director, San Juan Indian Health Station, San Juan, New Mexico 87566
Director, Conchiti Indian Health Station, Conchiti, New Mexico 87041
Director, San Felipe Indian Health Station, General Delivery, San Felipe Pueblo, New Mexico 87001
Director, White Mesa Indian Health Station, General Delivery, Towaoc, Colorado 81334
Director, Zuni-Ramah Service Unit, Zuni Indian Hospital, Zuni, New Mexico 87327
Director, Zuni Indian Health Station, Zuni, New Mexico 87327
Director, Acoma-Canoncito-Laguna Service Unit, Acoma-Canoncito-Laguna Indian Hospital, P.O. Box 130, San Fidel, New Mexico 87049
Director, Laguna Indian Health Center, P.O. Box 199, New Laguna, New Mexico 87038
Director, Canoncito Indian Health Center, c/o Acoma-Canoncito-Laguna Indian Hospital, P.O. Box 130, San Fidel, New Mexico 87049
Director, Billings Area Indian Health Service, P.O. Box 2143, Billings, Montana 59103, ATTN: Program Planning & Statistics Office
Director, PHS Indian School Health Center, P.O. Box 602, Bringham City, Utah 84302
Director, Blackfeet Service Unit, Browning Indian Hospital, Browning, Montana 59417
Director, Heart Butte Indian Health Station, Heart Butte, Montana 59448
Director, Crow Service Unit, Crow Indian Hospital, Crow Agency, Montana 59022
Director, Pryor Indian Health Station, Pryor, Montana 59066
Director, Flathead Service Unit, St. Ignatius Indian Health Center, St. Ignatius, Montana 59865
Director, Polson Indian Health Center, 320-B, 4th Avenue East, Polson, Montana 59860
Director, Fort Belknap Service Unit, Harlem Indian Hospital, Harlem, Montana 59526
Director, Hays Indian Health Center, Hays, Montana 59527
Director, Fort Peck Service Unit, Poplar Indian Health Center, Poplar, Montana 59255
Director, Wolf Point Indian Health Center, Wolf Point, Montana 59201
Director, Wind River Service Unit, Fort Washakie Indian Health Center, Fort Washakie, Wyoming 82514
Director, Arapahoe, Indian Health Center, Arapahoe, Wyoming 82510
Director, Northern Cheyenne Service Unit, Lame Deer Indian Health Center, Lame Deer, Montana 59043
Director, Rocky Boy's Service Unit, Rocky Boy's Indian Health Center, Box Elder, Montana 59521
Director, Navajo Area Indian Health Service, P.O. Box G, Window Rock, Arizona 86515, ATTN: Chief, Health Records Branch
Director, Chinle Service Unit, Chinle Indian Health Center, P.O. Box P.H., Chinle, Arizona 86503
Director, Many Farms Indian Health Center, c/o Chinle Indian Health Center, Chinle, Arizona 86503
Director, Many Farms Indian School Health Center, c/o Chinle Indian Health Center, Chinle, Arizona 86503
Director, Crownpoint Service Unit, Crownpoint Indian Hospital, Crownpoint, New Mexico 87313
Director, Fort Defiance Service Unit, Fort Defiance Indian Hospital, Fort Defiance, Arizona 86504
Medical Officer in Charge, Toyei Clinic, Indian Health Center, Fort Defiance, Arizona 86504
Director, Lower Greasewood Indian Health Center, Lower Greasewood, Arizona 86505
Director, Navajo Indian Health Center, c/o Fort Defiance Indian Hospital, Community Health Services, Fort Defiance, Arizona 86504
Director, Gallup Service Unit, Gallup Indian Medical Center, Gallup, New Mexico 87301
Medical Officer in Charge, Tohatchi Indian Health Center, Gallup, New Mexico 87301
Director, Fort Wingate Indian Health Center, Fort Wingate, New Mexico 87316
Medical Officer in Charge, Fort Wingate Indian School Health Center, Fort Wingate, New Mexico 87316
Director, Kayenta Service Unit, Kayenta Indian Health Center, Kayenta, Arizona 86033
Director, Shonto, Indian Health Center, Shonto, Arizona 86044
Director, Shiprock Service Unit, Shiprock Indian Hospital, Shiprock, New Mexico 87420
Director, Tes Nos Pos Indian Health Center, P.O. Drawer D, Tes Nos Pos, Arizona 86514
Director, Shiprock Indian Maternal & Child Health Center, c/o Shiprock Indian Hospital—Field Health, Shiprock, New Mexico 87420
Director, Sanostee Indian School Health Center, c/o Shiprock Indian Hospital—Field Health, Shiprock, New Mexico 87420
Director, Todalena Indian Boarding School Health Station, c/o Shiprock Indian Hospital—Field Health, Shiprock, New Mexico 87420
Director, Tuba City Service Unit, Tuba City Indian Hospital, Tuba City, Arizona 86045

Director, Tuba City Indian School Health Center, c/o Tuba City Indian Hospital, Tuba City, Arizona 86045
Medical Officer in Charge, Holbrook Indian School Health Center, Holbrook Boarding School, Holbrook, Arizona 86025
Director, Winslow Service Unit, Winslow Indian Health Center, Winslow, Arizona 86047
Director, Dilkon Indian Health Center, Star Route, Winslow, Arizona 86045
Director, Leupp Indian Health Center, c/o Winslow Indian Health Center, Community Health Services, Winslow, Arizona 86047
Director, Leupp Indian School Health Center, c/o Winslow Indian Health Center, Community Health Services, Winslow, Arizona 86047
Director, Oklahoma City Area Indian Health Service, 388 Old Post Office and Courthouse Bldg., Oklahoma City, Oklahoma 73102–3477, ATTN; Chief, Records Librarian Consultant
Director, Ada Service Unit, Ada Indian Hospital, 1001 North Country Club Drive, Box 1564, Ada, Oklahoma 74820
Director, Tishomingo Indian Health Center, Tishomingo, Oklahoma 73460
Director, Wewoka Indian Health Center, Wewoka, Oklahoma 74884
Director, Claremore Service Unit, Claremore Indian Hospital, Claremore, Oklahoma 74017
Director, Seneca Indian Health Station, Wyandotte, Oklahoma 74370
Director, Delaware District (Jay) Indian Health Center, Jay, Oklahoma 74346
Director, Okemah Indian Health Center, Okemah, Oklahoma 74859
Director, Okmulgee Indian Health Center, P.O. Box 1015, Okmulgee, Oklahoma 74447
Director, Miami Indian Health Center, P.O. Box 1498, Miami, Oklahoma 74354
Director, Locust Grove Indian Health Station, Locust Grove, Oklahoma 74352
Director, Sapulpa Indian Health Station, Sapulpa, Oklahoma 74066
Director, Seneca Indian School Health Station, Wyandotte, Oklahoma 74370
Director, Clinton Service Unit, Clinton Indian Hospital, Clinton, Oklahoma 73601
Director, Watonga Indian Health Center, Watonga, Oklahoma 73772
Director, Concho Indian School Health Center, Concho, Oklahoma 73022
Director, Kansas Service Unit, Holton Indian Health Center, Holton, Kansas 66436
Facility Director, Lawrence (Haskell) Indian School Health Center, Lawrence, Kansas 66044
Director, White Cloud Indian Health Station, White Cloud, Oklahoma 66094
Director, Lawton Service Unit, Lawton Indian Hospital, Lawton, Oklahoma 73501
Director, Anadarko Indian Health Center, Anadarko, Oklahoma 73005
Director, Riverside Indian School Health Center, Anadarko, Oklahoma 73005
Director, Carnegie Indian Health Center, Carnegie, Oklahoma 73015
Director, Pawnee Service Unit, Pawnee Indian Hospital, Pawnee, Oklahoma 74058
Director, Pawhuska Indian Health Center, Pawhuska, Oklahoma 74056
Director, White Eagle Indian Health Center, Route 4, Ponca City, Oklahoma 74601
Director, Chilocco, Indian School Health Station, Chilocco, Oklahoma 74635
Director, Shawnee Service Unit, Shawnee Indian Health Center, Shawnee, Oklahoma 74801
Director, Tahlequah Service Unit, W. W. Hastings Indian Hospital, 1120 Grand, Tahlequah, Oklahoma 74464
Director, Eufaula Indian Health Center, Locust Street, Eufaula, Oklahoma 74432
Director, D. K. Martin Indian Health Station, Stillwell, Oklahoma 74960
Director, USPHS Indian School Health Station, Sequcyah Institute, Tahlequah, Oklahoma 74464
Director, Sallisaw Indian Health Station, Sallisaw, Oklahoma 74955
Director, Talihina Service Unit, Talihina Indian Hospital, Talihina, Oklahoma 74571
Director, John Anderson Memorial Health Center, USPHS Indian Health Center, Broken Bow, Oklahoma 74728
Director, Hugo Indian Health Center, 109 E. Main, Hugo, Oklahoma 74743
Director, McAlester Indian Health Center, McAlester, Oklahoma 74501
Director, Jones Academy Indian Health Station, Hartshorne, Oklahoma 74547
Director, Phoenix Area Indian Health Service, 801 East Indian School Road, Phoenix, Arizona 85014, ATTN: Chief, Health Records Branch
Director, Colorado River Service Unit, Parker Indian Hospital, Route 1, P.O. Box 12, Parker, Arizona 85344
Director, Peach Springs Indian Health Center, Peach Springs, Arizona 86434
Director, Riverside Indian School Health Center, 8934 Magnolia, Riverside, California 92503
Director, Havasupai Indian School Health Station, Supai, Arizona 86435
Director, Fort Yuma Service Unit, Winterhaven Indian Hospital, P.O. Box 1368, Yuma, Arizona 85364
Director, Keams Canyon Service Unit, Keams Canyon Indian Hospital, P.O. Box 98, Keams Canyon, Arizona 86034
Director, Second Mesa Indian Health Center, General Delivery, Second Mesa, Arizona 86043
Director, Kaibab Indian Dental Clinic, Fredonia, Arizona 86022
Director, Owyhee Service Unit, Owyhee Indian Hospital, P.O. Box 212, Owyhee, Nevada 89832
Director, Goshute Indian Health Clinic, c/o Director Owyhee Service Unit, Owyhee Indian Hosptial, P.O. Box 212, Owyhee, Nevada 89832
Director, Phoenix Service Unit, Phoenix Indian Medical Center, 4212 North 16th St., Phoenix, Arizona 85016
Director, Salt River Indian Health Center, Route 1, Box 115, Scottsdale, Arizona 85257
Director, Gila Crossing Indian Health Clinic, Route 1, Box 770, Laveen, Arizona 85339
Director, Phoenix Indian School Health Center, c/o Phoenix Indian Medical Center, 4212 North 16th St., Phoenix, Arizona 85016
Director, Sacaton Service Unit, Sacaton Indian Hosptial, Sacaton, Arizona 85247
Director, San Carlos Service Unit, San Carlos Indian Hospital, San Carlos, Arizona 85550
Director, Bylas Indian Health Clinic, Bylas, Arizona 85530
Director, Schurz Service Unit, Schurz Indian Hosptial, Schurz, Nevada 89427
Director, Stewart Indian School Health Center, Stewart, Nevada 89437
Director, Unitah and Ouray Service Unit, Fort Duchesne Indian Health Center, P.O. Box 967, Roosevelt, Utah 84066
Director, Fort Duchesne Indian Dental Clinic, Roosevelt, Utah 84066
Director, Whiteriver Service Unit, Whiteriver Indian Hospital, Whiteriver, Arizona 85941
Director, Cibecue Indian Health Center, Cibecue, Arizona 85911
Director, Portland Area Indian Health Service, Room 476, Federal Building, 1220 Southwest Third Avenue, Portland, Oregon 97204–2892, ATTN: Chief, Health Records Branch
Director, Chemawa Indian School Health Center, 3750 Hazelgreen Road, N.E., Salem, Oregon 97303
Director, Colville Service Unit, Colville Indian Health Center, Nespelem, Washington 99155
Director, Inchelium Indian Health Center, Inchelium, Washington 99138
Director, Fort Hall Service Unit, Fort Hall Indian Health Center, P.O. Box 317, Fort Hall, Idaho 83203
Director, Blackfoot Indian Health Station, Blackfoot, Idaho 83221
Director, Northern Idaho Service Unit, Northern Idaho Indian Health Center, P.O. Drawer 367, Lapwai, Idaho 83540
Director, Kamiah Indian Health Station, Kamiah, Idaho 83536
Director, Coeur d'Alene Indian Health Station, Coeur d'Alene, Idaho 83814
Director, Warm Springs Service Unit, Warm Springs Indian Health Center, Warm Springs, Oregon 97761
Director, Puget Sound Service Unit, Kitsap Indian Health Center, 1212 South Judkins, Seattle, Washington, 98144
Director, Muckleshoot Indian Dental Clinic, 14812 S.E. 368th Place, Auburn, Washington 98002
Director, Port Gamble Indian Health Station, Port Gamble, Washington 98364
Director, Yakima Service Unit, Yakima Indian Health Center, Route 1, Box 1104, Toppenish, Washington 98948
Director, White Swan Indian Health Station, White Swan, Washington 98952

Director, Umatilla Service Unit, Yellowhawk Indian Health Center, P.O. Box 159, Pendleton, Oregon 97801

Director, Taholah Service Unit, Taholah Indian Health Center, P.O. Box 219, Taholah, Washington 98587

Director, Queets Indian Health Station, c/o Service Unit Director, Taholah Indian Health Center, P.O. Box 1148, Taholah, Washington 98587

Director, Oakville Indian Health Station, Oakville, Washington 98568

Director, Neah Bay Service Unit, Neah Bay Indian Health Center, P.O. Box 418, Neah Bay, Washington 98357

Director, La Push Indian Health Station, La Push, Washington 98350

Director, Lower Elwha Indian Health Station, Port Angeles, Washington 98362

Director, Northwest Washington Service Unit, Lummi Indian Health Center, 2592 Kwina Road, Bellingham, Washington 98225

Swinomish Indian Dental Program, P.O. Box 64, La Conner, Washington 98257

Director, Burlington Indian Health Station, Burlington, Washington 98233

Director, Deming Indian Health Station, Deming, Washington 98244

Director, Wellpinit Service Unit, Wellpinit Indian Health Center, P.O. Box 391, Wellpinit, Washington 99040

Director, Kalispel Indian Health Station, c/o Wellpinit Service Unit Director, Wellpinit Indian Health Center, P.O. Box 391, Wellpinit, Washington 99040

Director, Tucson Program Office, Indian Health Service, P.O. Box 11340, Tucson, Arizona 85734, ATTN: Privacy Act Coordinator

Director, Sells Service Unit, Sells Indian Hospital, Sells, Arizona 85634

Director, Santa Rosa Indian Health Center, Star Route, Box 71, Sells, Arizona 85634

Director, San Xavier Indian Health Center, Tucson, Arizona 85734

Program Office Director, United Southeastern Tribes, Indian Health Service, Oak Towers Building, 1101 Kermit Drive, Nashville, Tennessee 37217-2191, ATTN: Privacy Act Coordinator

Director, Cherokee Service Unit, Cherokee Indian Hospital, Cherokee, North Carolina 28719

Director, Choctaw Service Unit, Choctaw Indian Hospital, Route 7, Box 50-R, Philadelphia, Mississippi 39350

Program Office Director, California Program Office, Indian Health Service, 2800 Cottage Way, E-1831, Sacramento, California 95825, ATTN: Privacy Act Coordinator

APPENDIX 2—Federal Archives and Records Centers

District of Columbia, Maryland, except U.S. Court records for Maryland, Washington National Records Center, 4205 Suitland Road, Suitland, Maryland 20233

GSA Region 1—Maine, Federal Archives and Records Center, 330 Trapelo Road, Waltham, MA 02154

GSA Region 2—New York, Federal Archives and Records Center, Military Ocean Terminal. Bldg. 22, Bayonne, NJ 07002

GSA Region 3—Pennsylvania, Federal Records Center, Defense Activities Bldg. 308, Mechanicsburg, PA 17055

GSA Region 4—Mississippi and Florida, Federal Archives and Records Center, 1557 St. Joseph Avenue, East Point, GA 30344

GSA Region 5—Wisconsin, Minnesota and U.S. court records for Michigan, Federal Archives and Records Center, 7358 South Pulaski Rd., Chicago, IL 60629

GSA Region 5—Michigan except U.S. court records, Federal Records Center, 3150 Bertwynn Drive, Dayton, OH 45439

GSA Region 6—Kansas, Iowa and Nebraska, Federal Archives and Records Center, 2306 East Bannister Rd., Kansas City, MO 64131

GSA Region 7—Oklahoma, Louisiana and New Mexico, Federal Archives and Records Center, P.O. Box 6216, Ft. Worth, TX 76115

GSA Region 8—Colorado, Wyoming, Utah, Montana, North Dakota and South Dakota, Federal Archives and Records Center, Bldg. 48, Denver Federal Center, P.O. Box 25307, Denver, CO 80225

GSA Region 9—California, except Southern California, and Nevada, except Clark County, Federal Archives and Records Center, 1000 Commodore Drive, San Bruno, CA 94066

GSA Region 9—Arizona: Clark County, Nevada, and Southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego), Federal Archives and Records Center, 24000 Avila Road, Laguna Niguel, CA 92677

GSA Region 10—Washington, Oregon, Idaho and Alaska, Federal Archives and Records Center, 6125 Sand Point Way, Seattle, WA 98115

09-15-0022

System name: Accounts Receivable. HHS/HSA/BMS.

Security classification: None.

System location: Financial Management Offices—see Appendix.

Categories of individuals covered by the system: Patients, PHS employees.

Categories of records in the system: Billing to individuals.

Authority for maintenance of the system: Public Health Service Act Section 321 (42 U.S.C. 248).

Purpose(s): To bill and collect funds due the Federal Government. Records may be used by the HHS Audit Agency and HHS claims office for audit purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be provided to any government agency which had requested or arranged for treatment or care of an individual by the Bureau of Medical Services.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Retrievable by name.

Safeguards: 1. Authorized Users: Billing clerks, cashiers, and BMS financial management personnel.

2. Physical Safeguards: All documents are protected during lunch hours and nonworking hours in locked file cabinets and locked storage areas.

3. Procedural Safeguards: All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; and HHS Ch 45-13 and Ch PHS.hf:45-13 of the General Administration Manual.

Retention and disposal: Number of years held at HSA—Until audited. How destroyed: Incinerator.

System manager(s) and address: Chief, Financial Management Branch, Bureau of Medical Services, 6525 Belcrest Rd., W. Hyattsville, Md. 20782.

Notification procedure: Contact the Financial Management Offices—as listed in the appendix. Individuals must provide positive identification, such as driver's license, passport, voter's registration card, union card, or a written certification verifying his or her identity.

Record access procedures: Same as notification procedures. Requesters should reasonably specify the record contents being sought.

Contesting record procedures: Write to appropriate Financial Management Officer as listed in the appendix and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: From individual medical record.

Systems exempted from certain provisions of the act: None.

Appendix

Address all correspondence to:

Chief, Financial Management Branch, Bureau of Medical Services, 6525 Belcrest Rd., Hyattsville, Maryland 20782

Chief, Financial Managment, at the appropriate location below:

USPHS Hospital, 3100 Wyman Park Drive, Baltimore, Md. 21211

USPHS Hospital, 77 Warren St., Boston (Brighton), Mass. 02135

USPHS Hospital, Carville, La. 70721

USPHS Hospital, 2050 Space Park Drive, Nassau Bay, TX 77058

USPHS Hospital, 210 State St., New Orleans, La 70118

USPHS Hospital, 6500 Hampton Blvd., Larchmont, Norfolk, Virginia 23508

USPHS Hospital, 1131 14th Ave. South, Seattle, Wash. 98114

USPHS Hospital, Bay Street and Vanderbilt Avenue, Staten Island, New York 10304

USPHS Hospital, 15th Ave. and Lake St., San Francisco, Calif. 94118

USPHS Outpatient Clinic, Switzer Bldg., 4th & C St., SW., Washington, D.C. 20201

USPHS Outpatient Clinic, 1600 Clifton, Rd., NE., Atlanta, Georgia 30333

09–15–0026

System name: Medical Fellowships and Educational Loans. HHS/HSA/OA.

Security classification: None.

System location: DHHS/HSA/OA/DFS, Rm. 16–23, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD. 20857, and Regional Federal Records Center.

Categories of individuals covered by the system: Private Citizens (Loan Applicants).

Categories of records in the system: Fellowship, Grants and Loans Applications.

Authority for maintenance of the system: Public Health Service Act Section 301 (42 U.S.C. 241).

Purpose(s): To support the HSA's accounting system of obligations and payments.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any ot its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Retrievable by name.

Safeguards:

Files are kept in locked metal filing cabinets and access to these files is limited to the accounting clerks, accountants and auditors that are performing the accounting function for this program. The files are not left unattended during office hours, including lunch hours. These procedures are in accordance with Chapter 45–13 of the General Administrative Manual, and Chapter PHS.hf: 45–13.

Retention and disposal:

Number of years held at HSA: 2 yrs. 1 yr. warehouse. Number of years held at Federal Records Center before disposal: 7 yrs. How destroyed: in accordance with items 4.b and 4.c of Schedule 3, GSA General Records Schedules.

System manager(s) and address: HSA–OA (HQ) Chief Accounting and Finance Branch, 5600 Fishers Lane, Parklawn Bldg., Rm. 16–23, Rockville, MD. 20857and Records Center address:Washington National Records Center, 4205 Suitland Road, Washington, D.C. 20409.

Notification procedure:

Director, Office of Management Policy, HSA, Rm. 13A39, 5600 Fishers Lane, Rockville, MD. 20857.

Record access procedures: Write to System Manager. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the System Manager and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Promissory note signed by the individual receiving the loan.

Systems exempted from certain provisions of the act:

None.

09–15–0027

System name: National Health Service Corps (NHSC), Bureau of Medical Services (BMS) and Indian Health Services (IHS) Pre-Applicant Recruitment and Provider File. HHS/HSA/BHPOS

Security classification: None.

System location: P.O. Box 1838, Presidential Building, 6525 Belcrest Road, Hyattsville, MD 20782.

Categories of individuals covered by the system: NHSC volunteer or scholarship applicants who wish to be assigned to critical health manpower shortage areas; applicants who wish to be assigned to the Public Health Service Bureau of Medical Services; individuals who indicate an interest in an assignment at an Indian Health Service location.

Categories of records in the system: Employment data private practice data, and preference for site-selection, personal and professional background information.

Authority for maintenance of the system:

Public Health Service Act, Section 333 (42 U.S.C. 254f); Public Health Service Act, Sec. 753 (42 U.S.C. 294V); Public Law 33–658 (42 U.S.C. 2001).

Purpose(s): Matching applicant for assignment to health manpower shortage areas most suited to their interests; matching applicants for assignments to PHS hospitals or to IHS locations.

Users: Used by Regional Offices, IHS Area Offices and Service Units to pre-negotiate assignments, and used PHS-wide for recruitment programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of ligitation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files, computer tape and disc, punched cards.

Retrievability: Applicant name and number.

Safeguards: Locked area and file cabinets. ADP remote stations and files are locked during non-standard working hours, with periodic checks made by building security force. Individual files are in locked cabinets inside a secured area. Codes by which automated files may be accessed are changed periodically. This procedure also includes deletion of access codes when employees leave. New employees are briefed and the guard office is notified of all staff mem-

bers authorized to be in secured area during non-standard working hours. The list is revised as employees are gained or lost. Backup files are maintained in an off-site facility with fire extinguishers and controlled entrances and exits.

Personnel authorized to have access to the system are limited to the system manager; director and staff of the Division of Monitoring and Analysis; and the chief and staff of the recruitment Services Branch, NHCS.

These safeguards are in compliance with chapter 45–13, General Administration Manual, and Part 6 of the Department's ADP Systems Manual.

Retention and disposal: Maintained for three years, the historical tapes are sent to a Federal records center and the initial record is destroyed.

System manager(s) and address: Director, National Health Service Corps, P.O. Box 1838, Presidential Building, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure: Write to System Manager.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the official at the address specified under notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Letters of inquiry, NHSC Site Selection Questionaire For Physicians, NHSC Site Selection Questionnaire for Dentists; NHSC Private Practice Option Agreements; BMS Physician Questionnaire; IHS Medical Student and Physician Questionnaire; and Bureau of Health Professions Development and Service scholarship source tape.

Systems exempted from certain provisions of the act: None.

09–15–0028

System name: PHS Clinical Affiliation Trainee Records. HHS/HSA/BMS.

Security classification: None.

System location: See Appendices 1 and 2 to system notice 09–15–0007, Patients Medical Record System PHS Hospital/Clinics HHS/HSA/BMS.

Categories of individuals covered by the system: Students in PHS training programs or serving clinical affiliation in Public Health Service Hospitals and Clinics.

Categories of records in the system: Transcripts of past education application for training, training program staff and clinical supervisor evaluations and progress reports, course grades and evidence of completion of training requirements.

Authority for maintenance of the system: Public Health Service Act Sec. 321 (42 U.S.C. 248).

Purpose(s): To provide communication between educational and supervisory staff for evaluation of trainees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made:

To Educational Program staff of affiliated college/university to provide reports of student trainee's progress in training;

To prospective employers for professional reference;

To representatives of medical/allied health training program accreditation of PHS Training Programs;

To professional boards or associations to certify the students' progress in or completion of training as required for professional license, registration certification, etc.

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclosure such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Alphabetically by last name.

Safeguards: 1. Authorized Users: Director of Education at the PHS Hospitals and Clinics, work and staff supervisors and administrative personnel.

2. Physical Safeguards: All documents are protected during lunch hours and nonworking hours in locked file cabinets and locked storage areas.

3. Procedural Safeguards: All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; and HHS Ch 45–13 and Ch PHS.hf:45–13 of the General Administration Manual.

Retention and disposal: Number of years held at HSA: 10 years, then destroyed by shredding.

System manager(s) and address: Director, Bureau of Medical Services, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure:

The individual should contact the PHS facility where training was received giving name, date of birth and approximate dates of training to allow positive identification of the record.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Contact the PHS facility mentioned at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state corrective action sought.

Record source categories:

Individual, clinical supervisors, instructors, training program staff and administrative personnel of facility and affiliated college/university.

Systems exempted from certain provisions of the act: None.

09–15–0029

System name: PHS Beneficiary-Contract Medical/Health Care Records. HHS/HSA/BMS.

Security classification: None.

System location: 1. Director, Bureau of Medical Services, 6525 Belcrest Road, Hyattsville, MD 20782.

2. Director, PHS Hospital responsible for supervision of the area (See Appendix).

3. See Appendix 3 of Patient Medical Record System PHS Hospital/Clinics, 09–15–0007, for location of Federal Records Centers.

Categories of individuals covered by the system: Individuals (primarily American seamen) who are legally entitled to medical or health care by the Public Healhh Service and who have received medical or health care from health professionals or facilities under contract to the Public Health Service, Bureau of Medical Services.

Categories of records in the system: May include any or all of the following medical history, diagnostic (laboratory/X-ray, etc.) and treatment data, sociologic information, eligibility data including employment history, master's certificate, uniformed services information (employing services, service numbers, duty station, etc.).

Authority for maintenance of the system:

PHS Act, Sections 321, 322, 326, (42 USC 248, 249, 253) PL 88–71, Section 1 (42 USC 253a).

Purpose(s): To serve as a basis for planning patient care and for continuity in the evaluation of the patient's condition and treatment; to furnish documentary evidence of the course of the patient's medical evaluation and treatment; to document communications between the responsible practitioner and any other health professionals contributing to the patient's care and treatment; to verify patient eligibility; and to ensure quality assurance, and to monitor contract compliance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made:

To a non-agency physician, medical facility or laboratory for continued care of the patient;

To Department of Transportation and Department of Commerce to report results of examination and/or treatment of that agency's personnel or dependents;

To the Veterans Administration to assist uniformed services personnel, retirees and veterans to obtain medical care or benefits;

To the Coast Guard to report results of examination and/or treatment of American seamen found suffering from medical conditions that are hazardous to themselves or to others.

To a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Information regarding the commission of crimes or the reporting of occurrences of communicable diseases, tumors, child abuse, births, deaths, alcohol or drug abuse, etc., as may be required to be disclosed by health providers and facilities by State Law or regulation of the Department of Health, or other agency of this state or its subdivision in which the facility is located. Disclosures will be made to organizations as specified by the State law or regulation, such as births and deaths to vital statistics agency and crimes to law enforcement agencies. Disclosure of the contents of records which pertain to patient identity, diagnosis, prognosis or treatment of alcohol or drug abuse is restricted under the provisions of the Confidentiality of Alcohol and Drug Abuse Patient Records Regulations 42 CFR, Part 2, as authorized by 21 USC 1175 and 42 USC 4582, as amended by P.L. 93-282.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Name, uniformed service number which is the Social Security number, and/or Z number. Those records indexed by SSN are maintained and retrieved in accordance with Sec. 7(a)(2)(B) of the Privacy Act.

Safeguards: 1. Authorized Users: supervisory contracting officials who review the contractor's records annually, doctors, dentists, nurses, allied health professionals and administrative staff in the contractor's office or facility.

2. Physical Safeguards: All documents are protected during lunch hours and nonworking hours in locked file cabinets and locked storage areas.

3. Procedural Safeguards: All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; and HHS Ch 45-13; and Ch PHS.hf:45-13 of the General Administration Manual.

Retention and disposal: Retained in the contracting professional's facility files until the contract is terminated. Then turned over to the supervisory PHS Hospitals and Clinicas for transmittal to a new contracting professional or storage at a Federal Records Center. When stored in a Federal Records Center, active duty uniformed services personnel records are stored for 50 years, active duty uniformed service personnel, 25 years all others. Destruction at that time is in accordance with standard practices of the Federal Records Center.

System manager(s) and address: Director, Bureau of Medical Services, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure: Inquiries should be addressed to the director of the PHS facility supervising the area where care has been obtained from a contract source. (See listing in Appendix). Individual must provide name, beneficiary category, date of birth, service number/Z number (if applicable) and name and location of source of contract care. Identification such as driver's license, passport, voter's registration card, union card, or a written certification verifying the individual's identity is required. An individual who requests access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. Requesters should also reasonably specify the record contents being sought.

Record access procedures: Same as notification procedures.

Contesting record procedures: Contact the official at the appropriate address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Individual, employers, other medical care providers, families and social agencies.

Systems exempted from certain provisions of the act: None.

Appendix

HOSPITAL STATES, Director, USPHS Hospital, 3100 Wyman Park Drive, Baltimore, Maryland 21211
Serving: Delaware, District of Columbia, Illinois, Indiana, Iowa, Maryland, Michigan, Minnesota, Ohio, Pennsylvania, West Virginia, Wisconsin.
Director, USPHS Hospital, 77 Warren Street, Boston (Brighton), MA 02135
Serving: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont.
Director, USPHS Hospital, 2050 Space Park Drive, Nassau Bay, TX 77058
Serving: Colorado, Kansas, New Mexico, Oklahoma, Texas.
Director, USPHS Hospital, 6500 Hampton Boulevard, Larchmont, Norfolk, VA 23508
Serving: Georgia, North Carolina, South Carolina, Virginia.
Director, USPHS Hospital, 210 State Street, New Orleans, LA 70118
Serving: Alabama, Arkansas, Canal Zone, Florida, Kentucky, Louisiana, Mississippi, Missouri, Puerto Rico, Tennessee, Virgin Islands
Director, USPHS Hospital, 15th Ave. and Lake Street, San Francisco, CA 94118
Serving: Arizona, California, Hawaii, Nevada, Utah.
Director, USPHS Hospital, P.O. Box 3145 or 1131 14th Avenue South, Seattle, WA 98144
Serving: Alaska, Idaho, Montana, Nebraska, North Dakota, Oregon, South Dakota, Washington, Wyoming.
Director, USPHS Hospital, Bay Street & Vanderbilt Avenue, Staten Island, NY 10304
Serving: New Jersey, New York.
Director, Public Health Service Health Data Center, 10000 Aerospace Road, Warehouse No. 1, Lanham, Maryland 20706

09-15-0034

System name:

Health Care Provider Profile. HHS/HSA/BMS.

Security classification:

None.

System location:

See Appendix.

Categories of individuals covered by the system:

Physicians, dentists, other health care persons in PHS facilities who have primary responsibility for assessing condition of the patient, exercising independent judgment as to the care of the patient, and rendering service during a patient encounter.

Categories of records in the system:

Assignment data, demographic data, education, training and experience, specialty boards, record of continuing education credit.

Authority for maintenance of the system:

Public Health Service Act, Section 321 (42 USC 248).

Purpose(s):

The records in this system are used to establish a research and management data base which provides a basis for determining the quality and efficacy of medical care as well as effective utilization of health care services.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of

its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

3. Disclosure may be made to evaluation teams of the Joint Commission on Accreditation of Hospitals for hospital and clinic accreditation purposes only. Medical records are used to document quality of service provided by the PHS facility.

4. Records may be disclosed to the Professional Standards Review Organizations (PSRO) review boards for evaluation of services covered by Medicare, Medicaid, and Maternal and Child Health programs.

5. Disclosure may be made to a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. The contractor is required to maintain Privacy Act safeguards with respect to such records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy, computer printouts and magnetic tape.

Retrievability:

The records are retrieved by the Provider Identification Number (PIN).

Safeguards: 1. Authorized Users: BMS management personnel, PHS Hospitals and Outpatient Clinics Directors, and administrative personnel assigned to the Program.

2. Physical Safeguards: Twenty-four hour, 7-day security guards perform random checks on the physical security of the data. All documents are protected during lunch hours and nonworking hours in locked file cabinets or locked storage areas.

3. Procedural Safeguards: Magnetic tapes, discs, other computer equipment and other forms of personal data are stored in areas where fire and life safety codes are strictly enforced. A password is required to access the terminal and a data set name controls the release of data to only authorized users. All users of personal information in connection with the performance of their jobs protect information from public view and from unauthorized personnel entering an unsupervised office. Access to records is strictly limited to those staff members trained in accordance with the BMS Privacy Act Implementation Guidelines; HHS Ch 45–13 and Ch PHS.hf:45–13 of the General Administration Manual; and Part 6 of the Department's ADP Systems Security Manual.

Retention and disposal: Records are maintained one year after the health care provider leaves the service of the Bureau of Medical Services. Destruction is by shredding of the hard copy or erasing of the tape.

System manager(s) and address: Director, Bureau of Medical Services, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure: Write to the system manager to determine if a record exists. Individual must provide positive identification, such as driver's license, passport, voter's registration card, union card, or a written certification verifying his or her identity.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Write to the official at the address specified in the notification procedures above, and reasonably identify the record, specify the information to be contested, and state the corrective action sought.

Record source categories: Health care professionals assigned to the PHS general hospitals and outpatient clinics as listed in the Appendix.

Systems exempted from certain provisions of the act: None.

Appendix

Director, USPHS Hospital, 3100 Wyman Park Drive, Baltimore, MD 21211

Director, USPHS Hospital, 77 Warren Street, Boston (Brighton), MA 02135

Director, USPHS Hospital, 2050 Space Park Drive, Nassau Bay, TX 77058

Director, USPHS Hospital, 210 State Street, New Orleans, LA 70118

Director, USPHS Hospital, 6500 Hampton Boulevard, Larchmont, Norfolk, VA 23508

Director, USPHS Hospital, 15th Avenue and Lake Street, San Francisco, California 94118

Director, USPHS Hospital, Box 3145 or 1131, 14th Avenue South, Seattle, WA 98114

Director, USPHS Hospital, Bay Street and Vanderbilt Avenue, Staten Island, NY 10304

Director, USPHS Hospital, Carville, LA 70721

Director, USPHS Outpatient Clinic, 1600 Clifton Road NE., Atlanta, GA 30333

Director, USPHS Outpatient Clinic, Switzer Building, 4th and C Streets, SW., Washington, D.C. 20201

09–15–0036

System name: Health Professions Preparatory Scholarship Program for Indians and Health Professions Scholarship Program Record System, HHS/HSA/IHS.

Security classification: None.

System location:

Human Resources Management Branch, Indian Health Service, 5600 Fishers Lane, Room 6A–23, Rockville, Maryland 20857; and

Washington National Records Center, 4205 Suitland Road, Washington, D.C. 20409.

Categories of individuals covered by the system: Persons who have applied for and have been approved to receive, persons who are receiving, and persons who have received scholarship grant funds since January 1978 from the Health Professions Preparatory Scholarship Program for Indians and/or Health Professions Scholarship Program. Applicants for financial support awarded under the Health Professions Preparatory Scholarship Program for Indians must be American Indians or Alaskan Natives. Even though there is no racial requirement for the Health Professions Scholarship Program, priority selection is accorded to American Indian and Alaskan Native applicants, as stated in the legislation establishing this program.

Categories of records in the system: Records include grant applications of selected applicants only, and selection and performance records. In addition to the application forms for each of the two scholarship programs, these records also contain high school and college grade transcripts, evidence of acceptance in a school covered by the program, two faculty letters of recommendation or faculty evaluation forms, documentation of Indian eligibility (BIA Certification or State-Recognized Tribes Certification) for scholarship grant applicants who are claiming priority selection as American Indians or Alaskan Natives, verification from a school official that the course is required to meet an educational deficiency and that the program represents a full course load (for Health Professions Preparatory Scholarship Program), signed contract (for Health Professions Scholarship Program), and a brief written explanation of the applicants' reasons for requesting the scholarship. Progress reports and vouchers of expenditures are included with the records after the scholarships have been awarded.

Information requested on a scholarship grant application form includes: Full name of applicant, mailing address, telephone number, place of birth, citizenship, school in which enrolled or accepted for enrollment as a full-time student, dates of attendance, expected date of graduation, , length of program in years, tuition and fees charged, future speciality, present and previous residences (city, county, state), work experience, and career goals. In addition, the Social Security Number (SSN) is requested on the scholarship grant application (optional on the application but required prior to the award of a grant). IHS scholarship grant recipients have an active duty service obligation (25 U.S.C. 1613) and are entitled to employment in IHS during any nonacademic period of the year (25 U.S.C. 1614). In anticipation of these obligations and entitlements, the SSN is obtained from IHS scholarship grant recipients at the time of grant award for identification of "permanent" accounts for these individuals.

Authority for maintenance of the system: Section 103 of the Indian Health Care Improvement Act, 25 U.S.C. 1613, Health Professions Preparatory Scholarship Program for Indians.

Section 104 of the Indian Health Care Improvement Act, 42 U.S.C. 294y-1, Indian Health Scholarship Program.

Executive Order 9397, dated November 22, 1943, authorizing Federal agencies to collect SSNs from Federal employees for identification of "permanent" accounts.

Purpose(s): The purpose of this system of records is to select candidates for the Indian Health Service scholarship program, to monitor the scholarship-related activities of candidates selected, and to evaluate the effectiveness of the program. Scholarship-related activities are defined as enrollment and attendance in IHS-funded courses, the receipt by the student of a monthly stipend and the expenditure of funds by the student for the purchase of supplies

(including books), equipment, tuition, fees and other reimbursable and justified expenses authorized by IHS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: 1. Records may be disclosed to a congressional office in response to an inquiry from that office made at the request of the subject individual.

2. Records may be disclosed to authorized persons employed by the grantee institution (the institution which the recipient of a scholarship grant is attending) as needed for the administration of a scholarship grant award.

3. Records may be disclosed to other Federal agencies that also provide scholarship funding at the request of these Federal agencies in conjunction with a matching program conducted by these Federal agencies to detect or curtail fraud and abuse in Federal scholarship programs, and to collect delinquent loans or benefit payments owed to the Federal Government.

4. Name, tribal affiliation if applicable, and school of scholarship recipients will be published in the Federal Register as required by the terms of the legislation establishing the IHS scholarship grant program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in folders, ledgers, and on electronic word processing diskettes.

Retrievability: Records which identify individual persons are indexed by name or identification number of scholarship grant applicant or recipient.

Safeguards: 1. Paper records are stored in locked file cabinets. The record storage area is secured during off-duty hours. This area is not left unattended during office hours, including lunch hours. Records are not removed from the area in which they are maintained in the absence of proper charge-out procedures.

2. All IHS personnel who make use of records contained in this system are made aware of their responsibilities under the provisions of the Privacy Act and are required to maintain Privacy Act safeguards with respect to such records.

3. When copying records for authorized purposes, care is taken to ensure that any imperfect pages are not left in the reproduction room where they can be read, but are destroyed or obliterated.

4. Access is limited only to authorized personnel in the performance of their duties. Authorized personnel includes the system manager, his/her staff and staff of the Grants Management Office, IHS.

5. Word processing diskettes are stored in areas where fire and life safety codes are strictly enforced. Twenty-four hour, seven-day security guards perform random checks on the physical security of the data. Word processing diskettes are off-loaded and stored in locked cabinets when not in use. A data set name controls the release of data to only authorized users.

These safeguards are in accordance with: (1) HHS General Administration Manual chapter 45–13 and supplemental chapter PHS.hf: 45–13, "Safeguarding Records Contained in Systems of Records," (2) PHS Grants Administration Manual chapter PHS.11–602, "Information on Individuals Obtained in Grant Applications," and (3) Part 6, "Systems Security" of the HHS ADP Systems Manual.

Retention and disposal: Records in this system are retained by IHS for one year after the final award payment has been made by IHS and are then retired to a Federal Records Center. Records are shredded or burned by the Federal Records Center four years after they are received.

System manager(s) and address: Chief, Human Resources Management Branch, Indian Health Service, 5600 Fishers Lane, Room 6A–23, Rockville, Maryland 20857.

Notification procedure: Requests by mail or in person: To substantiate the identity of subject individual seeking access to his/her scholarship grant application and/or performance record, the requester must provide his/her name, signature, and Grant Identification Number. To identify the record sought, the requester must provide dates of attendance, school(s) of attendance, and field of speciality or courses taken.

In addition, the requester is hereby informed that provision of the SSN may assist in the verification of the identity of the person as well as in the identification of his/her record. Provision of his/her SSN is voluntary, and the requester will not be refused access to his/her record for failure to disclose his/her SSN.

Record access procedures: Same as notification procedures. Requesters should also provide a reasonable description of the record being sought.

Contesting record procedures: Contact the system manager, provide a reasonable description of the record, specify the information you want to contest, and state the corrective action sought.

Record source categories: Individuals whose records are contained in the system, third parties who provide references concerning the subject individuals, and schools that individuals in the system attend or have attended.

Systems exempted from certain provisions of the act: None.

09–15–0037

System name: Public Health Service Scholarship and National Health Service Corps Scholarship Programs HHS/HSA/BHPDS.

Security classification: None.

System location: Division of Health Services Scholarship, Center Building, Room G–17, 3700 East-West Highway, Hyattsville, Md. 20782.

Division of Computer Research and Technology, NIH Building 12, 9000 Rockville Pike, MD. 20205.

Categories of individuals covered by the system: Applicants for and recipients of Public Health Service and National Health Service Crops/Scholarships.

Categories of records in the system: Application and associated forms; recipient records contain progress reports, payroll forms, deferment and placement data, and social security number.

Authority for maintenance of the system: P.L. 92–585, and 42 U.S.C. 294t (section 751, PHS Act).

Purpose(s): To select and monitor scholarship recipients. After award, the Health Service Administration and the Department's Central Payroll use the records for payment, tracking, deferment of service obligation, default, placement and claims determination.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Names, disciplines, current mailing addresses, and dates of graduation of scholarship recipients are to be made available to designated coordinators at each school of medicine, osteopathy, and dentistry participating in the Scholarship Program for the purpose of guiding and informing these recipients about the nature of their forthcoming professional service obligation in health manpower shortage areas.

Name of scholarship recipient, professional school he or she is attending, and the date of graduation are made available to health professions associations and other interested health professions groups which have responsibility for coordinating funds paid to students from Federal and other sources. A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use of disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except:

(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project under these same conditions and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose an audit related to the research project if information that would enable research subjects to be identifed is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the department, any component of the department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her indi-

vidual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropiate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and magnetic tape.

Retrievability: Name, Award No., University, or Social Security Number.

Safeguards: Locked file units, 24 hours guard service, locked computer room and tape vault, password protection of automated records, personal screening and limited access to only authorized personnel. (Safeguards are in accordance with Part 6, ADP Systems security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in System of Records, of the Department's General Administration Manual).

Retention and disposal:

Records are disposed of in accordance with the Records Control Schedule of the Health Services Administration Contact the System Manager for the disposal standard.

System manager(s) and address:

Director, Division of Health Services Scholarships, Center Building, Room G–17, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure:

To determine if a record exists contact the System Manager.

Record access procedures:

Contact the System Manager and give a reasonable description of the record.

Contesting record procedures:

Contact the System Manager giving a reasonable description of the record, specify the information you want to contest, and state the corrective action sought.

Record source categories:

Evaluation forms from school faculty at the request of the student applicant, educational institution attended, internship and/or residency training site Health Services Administration Commissioned Personnel, Operations Division Office of personnel Management/ OASH.

Systems exempted from certain provisions of the act:

None.

09–15–0038

System name:

Disability Claims of the Nursing Student Loan Program HHS/ HSA/BHPDS.

Security classification:

None.

System location:

Division of Student Services, Center Building, Room 9–50, 3700 East-West Highway, Hyattsville, MD. 20782.

Categories of individuals covered by the system:

Applicants for cancellation of nursing student loans due to disability.

Categories of records in the system:

Letter requests claiming disability, correspondence, payment determinations and medical records or reports.

Authority for maintenance of the system:

Public Health Service Act Section 836(42 U.S.C. 297b).

Purpose(s): To determine the validity of claims.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

In the event of litigation where the defendant is (a) the Department any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders Medical records or reports are temporarily held during medical evaluation and then returned to and retained by nursing schools upon final determination of claim validity.

Retrievability:

Name of individual.

Safeguards:

Locking file cabinets with access by authorized personnel only and general building security (Safeguards are in accordance with Part 6, ADP Systems security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual).

Retention and disposal:

Records are disposed of in accordance with the Records Control Schedule of the Health Services Administration Contact the System Manager for the disposal standard.

System manager(s) and address:

Chief, Student and Institutional Assistance Branch/Division of Student Services, Center Building, Room 9–50, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure:

To determine if a record exists contact the System Manager. An individual who requests notification of a medical/dental record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures:

Contact the System Manager and give a reasonable description of the record. An individual who requests access of a medical/dental record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Contesting record procedures:

Contact the System Manager giving a reasonable description of the record, specify the information you want to contest, and state the corrective action sought.

Record source categories: Individual claimants.

Systems exempted from certain provisions of the act: None.

09–15–0039

System name: Disability Claims in the Health Professions Student Loan Program. HHS/HSA/BHPDS.

Security classification:

None.

System location: Division of Student Services, Center Building, Room 9–50, 3700 East-West Highway, Hyattsville, MD 20782.

Categories of individuals covered by the system:

Applicants for cancellation of health professions student loans due to disability. These health professions are included: medicine, dentistry, osteopathy, optometry, pharmacy, podiatry, veterinary medicine.

Categories of records in the system:

Letter requests claiming disability, correspondence, payment determinations and medical records or reports.

Authority for maintenance of the system: Public Health Service Act Section 741 (42 U.S.C. 294a).

Purpose(s): To determine the validity of claims.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that indivdual.

In the event of litigation where the defendant is (a) the Department any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders, Medical records or reports are temporarily held during medical evaluation and then returned to and retained by nursing schools upon final determination of claim validity.

Retrievability: Name of individual.

Safeguards: Locking file cabinets with access by authorized personnel only and general building security. (Safeguards are in accordance with Part 6, ADP Systems security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual)

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Services Administration, Contact the System Manager for the disposal standard.

System manager(s) and address: Chief, Student and Institutional Assistance Branch/Division of Student Services, Center Building, Room 9–50, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists contact the System Manager. An individual who requests notification of a medical/dental record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Contact the System Manager and give a reasonable description of the record. An individual who requests access of a medical/dental record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of is contents at the representative's discretion.

Contesting record procedures: Contact the System Manager giving a reasonable description of the record, specify the information you want to contest, and state the corrective action sought.

Record source categories: Individuals claimants.

Systems exempted from certain provisions of the act: None.

09–15–0040

System name: Health Professions Student Loan Repayment Program. HHS/HSA/BHPDS.

Security classification: None.

System location: Division of Student Services, Center Building, Room 9–50, 3700 East-West Highway, Hyattsville, MD. 20782.

Division of Computer Research and Technology, NIH Building 12, 9000 Rockville Pike, Bethesda, MD. 20205.

Categories of individuals covered by the system: Applicants for repayment of health professions student loans—medicine, dentistry, osteopathy, optometry, pharmacy, podiatry, veterinary medicine.

Categories of records in the system: Application and associated forms, correspondence.

Authority for maintenance of the system: Public Health Service Act Section 741(f) (42 U.S.C. 294a)(f).

Purpose(s): To monitor repayment of health professions student loans.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of ligitation where the defendent is (a) the Department any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or a regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and magnetic tapes.

Retrievability: Name of individual.

Safeguards: Locking file cabinets with access by a authorized personnel only password protection of automated record and general building security. (Safeguards are in accordance with Part 6, ADP Systems security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual).

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Services Administration Contact the System Manager for the disposal standard.

System manager(s) and address: Chief, Student and Institutional Assistance Branch/Division of Student Services, Center Building, Room 9–50, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists contact the System Manager.

Record access procedures: Contact the System Manager and give a reasonable description of the record.

Contesting record procedures: Contact the System Manager giving a reasonable description of the record, specify the information you want to contest, and state the corrective action sought.

Record source categories: Applicant, applicant's health professions school and lending institutions.

Systems exempted from certain provisions of the act: None.

09–15–0041

System name: Health Professions Student Loan Cancellation. HHS/HSA/BHPDS.

Security classification: None.

System location: Division of Student Services, Center Building, Room 9–50, 3700 East-West Highway, Hyattsville, MD. 20782.

Categories of individuals covered by the system: Applicants for health professions student loan cancellation.

Categories of records in the system: Application and associated forms, correspondence.

Authority for maintenance of the system: Public Health Service Act Section 741(f) (42 U.S.C. 294a)(f).

Purpose(s): To make determinations on loan cancellations, for statistical reports and program evaluation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of ligitation where the defendent is (a) the Department any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: Name of individual.

Safeguards: Locking file cabinets with access by authorized personnel only and general building security. (Safeguards are in accordance with Part 6, ADP Systems security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual).

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Services Administration Contact the System Manager for the disposal standard.

System manager(s) and address: Chief, Student and Institutional Assistance Branch/Division of Student Services, Center Building, Room 9–50, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists contact the System Manager.

Record access procedures: Contact the System Manager and give a reasonable description of the record.

Contesting record procedures: Contact the System Manager giving a reasonable description of the record, specify the information you want to contest, and state the corrective action sought.

Record source categories: Applicant, school and State Health Authority.

Systems exempted from certain provisions of the act: None.

09–15–0042

System name: Physician Shortage Area Scholarship Program. HHS/HSA/BHPDS.

Security classification: None.

System location: Division of Health Services Scholarships, Center Building, Room G–15, 3700 East-West Highway, Hyattsville, Maryland 20782

Division of Computer Research and Technology, NIH Bldg. 12, 9000 Rockville Pike, Bethesda, Md. 20205

Categories of individuals covered by the system: Applicants for and recipients of Physician Shortage Area grants in the fields of medicine and osteopathy.

Categories of records in the system: Grant applications, awards, and correspondence.

Authority for maintenance of the system: Health Professions Educational Assistance Act of 1976, Section 409(b) (42 U.S.C. 295g).

Purpose(s): To select and monitor award recipients until the service obligation has been fulfilled.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of ligitation where the defendent is (a) the Department any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and magnetic tapes.

Retrievability: Name or program LD number.

Safeguards: Locking file cabinets with access by authorized personnel only and general building security. (Safeguards are in accordance with Part 6, ADP Systems security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contained in Systems of Records, of the Department's General Administration Manual).

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Services Administration Contact the System Manager for the disposal standard.

System manager(s) and address: Director, Division of Health Services Scholarships, Center Building, Room G–15, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists contact the System Manager.

Record access procedures: Contact the System Manager and give a reasonable description of the record.

Contesting record procedures: Contact the System Manager giving a reasonable description of the record, specify the information you want to contest, and state the corrective action sought.

Record source categories: Applicant, and applicant's health profession school.

Systems exempted from certain provisions of the act: None.

09–15–0043

System name: Cuban Loan Program HHS/HSA/BHPDS

Security classification: None.

System location: Division of Financing Services, Center Building, Room G–6, 3700 East-West Highway, Hyattsville, MD. 20782.

Categories of individuals covered by the system: Applicants and recipients of Cuban Loan for medical students.

Categories of records in the system: Applications, and associated forms correspondence.

Authority for maintenance of the system: P.L. 87–510, Migration and Refugee Assistance Act of 1962, 76 Stat. 121.

Purpose(s): To award, monitor award and collect student loans.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendent is (a) the Department any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it

deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Name of Individual.

Safeguards: Locking file cabinets with access by authorized personnel only and general building security. (Safeguards are in accordance with Part 6, ADP Systems security, of the Department's ADP Systems Manual, and Chapter 45–13, Safeguarding Records Contined in Systems of Records, of the Department's General Administration Manual)

Retention and disposal: Records are disposed of in accordance with the Records Control Schedule of the Health Services Administration Contact the System Manager for the disposal standard.

System manager(s) and address: Chief, Debt Management Branch/ Division of Financing Services, Center Building, Room G–14, 3700 East-West Highway, Hyattsville, Maryland 20782.

Notification procedure: To determine if a record exists contact the System Manager.

Record access procedures: Contact the System Manager and give a reasonable description of the record.

Contesting record procedures: Contact the System Manager giving a reasonable description of the record, specify the information you want to contest, and state the corrective action sought.

Record source categories: Applicant, and applicant's health profession school.

Systems exempted from certain provisions of the act: None.

09–15–0044

System name:

Health Education Assistance Loan Program (HEAL) Loan Control Master File. HHS/HSA/BHPDS.

Security classification:

None.

System location:

Division of Student Services Health Education Assistance Loan Branch, Room 1165, 6525 Belcrest Road, Hyattsville, MD. 20782.

Categories of individuals covered by the system:

Applicants for and recipients of Health education assistance loans.

Categories of records in the system:

Contains name, social security number or other identifying number, birthdate, demographic background, educational status, loan location and status, financial information about the individual for whom the record is maintained. Contains lender and school identification.

Authority for maintenance of the system:

Title VII, Part C, Subpart I of the Public Health Service Act (42 U.S.C. 294–2941).

Purpose(s): To determine the validity of claims.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Disclosure may be made to Federal, State, or local agencies, to private parties such as relatives, present and former employers business and personal associates, to guarantee agencies, to educational and financial institutions, to credit bureaus and collection agencies, and to agency contractors, in order to verify the identity of the applicant, to determine program eligibility and benefits to enforce the conditions or terms of the loan, to permit servicing or collecting of the loan to counsel the borrower in repayment efforts, to investigate possible fraud and abuse and to verify compliance with program regulations, or to locate a delinquent or defaulted borrower, and an educational agency or lending institution against which a complaint has been made.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendent is (a) the department or any component of the department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Data are utilized by HEAL Program staff to identify students participating in the HEAL Program; to determine eligibility of loan applicants; to determine loan status of borrower, to compute insurance premium for Federal insurance; to compile and generate managerial and statistical reports; and to update file and correct errors.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and dispcsing of records in the system:

Storage:

The file is maintained on magnetic tape and disk packs at the location noted at the beginning of this system (18–40–0062). A microfilm file will be kept in the same location and stored in a file cabinet.

Retrievability:

Social Security Number or other identifying number to file and correct errors.

Safeguards:

The department has a contract with the Department of Education to provide ADP services to the HEAL Program. Under this contract all subcontractors will maintain automated data in accordance with provisions of the Education department ADP systems security standards. Direct access is restricted to authorized staff in performance of official duties. Maintained in locked cabinets.

Retention and disposal:

The information is retained as long as the loan is unpaid. At the time of full payment computer tapes are erased and all paperwork is destroyed.

System manager(s) and address:

Chief, Health Education Assistant Loan Branch/Division of Student Services, Room 1165, 6525 Belcrest Road, Hyattsville, Maryland 20782.

Notification procedure:

An individual should contact the system manager to determine whether a record exists for him or her. The individual should supply name, date of birth, and social security number or other identifying number whichever is appropriate.

Record access procedures:

An individual who is interested in seeing his or her record should contact the system manager, provide the information listed in notification procedure, and reasonably specify the record contents being sought.

Contesting record procedures:

An individual who wishes to contest the content of his or her record in this system should contact the system manager, identify himself or herself and state, in writing, which portion of the record should be changed and provide a justification and authorization for the change. Record source categories: Information is obtained from applications, correspondence, medical records, necessary legal documentation, and reports from borrowers and their families, lenders, schools, medical reports, employers, credit agencies, and Federal and State government agencies.

Systems exempted from certain provisions of the act: None.

Food and Drug Administration

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09–10–0002

System name: Regulated Industry Employee Enforcement Records. HHS/FDA/ACMO.

Security classification: None.

System location: Administrative Services Branch (HFA–210), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville MD 20857.

Administrative Branches at Field/District Offices. For the location of Field/District Offices, see Appendix A.

For the location of Federal Archives and Records Centers, see Appendix B.

Categories of individuals covered by the system: Employees of enterprises regulated by FDA and other individuals subject to FDA enforcement actions.

Categories of records in the system: Includes correspondence, memoranda, inspection reports, and related documents that are investigatory material compiled for law enforcement purposes.

Authority for maintenance of the system: Federal Food, and Drug and Cosmetic Act (21 U.S.C. 321 et seq.), the Public Health Service Act (42 U.S.C. 201 et seq.), and authority delegated to the Commissioner 21 CFR Part 5.

Purpose(s): To provide records used by FDA employees in investigations of possible violations of the law.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records that indicate violation or potential violation of law may be: (1) referred for investigation and possible enforcement action under the applicable Federal, state, or foreign laws to the Department of Justice; an appropriate state food and drug enforcement health agency or licensing authority; or, the government of a foreign country; or (2) disclosed in administrative or court proceedings in determining whether a record is relevant to an agency decision concerning documents of investigatory materials.

Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation, determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from that congressional office at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files are maintained in letter-size folders. Part of FDA's general records on regulated establishments.

Retrievability: Indexed by company or subject, sometimes with individual name in card cross-index. There is also an automated index to this system. FDA regulatory records lacking individual name indexes, such as its case file, and administrative files (AF), are not part of this system.

Safeguards: All files are in locked cabinets in a secured area, locked buildings, locked rooms, and limited access to Administrative Services Branch authorized personnel.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with FDA's Records Control Schedule. The Records Control Schedule and disposal standard for these records may be obtained by writing to the system manager at the address below.

System manager(s) and address: Chief, Administrative Services Branch (HFA–210), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; (d) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)). Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the system manager. If access is denied to requested records, an appeal may be made to: Commissioner, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Contesting record procedures: If access has been granted, contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained, from third parties such as consumers, scientists, representatives of other companies, state agencies, or developed by FDA during investigations for law enforcement purposes.

Systems exempted from certain provisions of the act: This system is exempt from access and contest and certain other provisions of the Privacy Act (5 U.S.C. 552a(C)(3), (d)((1) to (4), (e)(3), (e)(4)(G) to (H) and (f), to the extent that it includes investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes, where access would be likely to prejudice the conduct of the investigation.

Appendix A—Addresses and Working Hours of the Food and Drug Administration Field Offices

The following is a list of the Food and Drug Administration Field Offices, their addresses and working hours where individuals may have access to records in Food and Drug Administration Privacy Act Record Systems:

Boston District Office, Region I, 585 Commercial Street, Boston, MA 02109, Office hours: 8:00 a.m. to 4:30 p.m.

New York District Office, Region II, 850 3rd Avenue, Brooklyn, NY 11232, Office hours: 8:00 a.m. to 4:30 p.m.

Buffalo District Office, Region II, 599 Delaware Avenue, Buffalo, NY 14202, Office hours: 8:00 a.m. to 4:30 p.m.

Newark District Office, Region II, 20 Evergreen Place, East Orange, NJ 07018, Office hours: 8:00 a.m. to 4:30 p.m.

San Juan District Office, Region II, P.O. Box S–4427, San Juan, PR 00905, Office hours: 8:30 a.m. to 4:30 p.m.

Philadelpha District Office, Region III, 2nd and Chestnut Streets, Room 900, Philadelphia, PA 19106, Office hours: 8:00 a.m. to 4:30 p.m.

Baltimore District Office, Region III, 900 Madison Avenue, Baltimore, MD 21201, Office hours: 7:45 a.m. to 4:15 p.m.

Atlanta District Office, Region IV, 1182 Peachtree Street, NW., Atlanta, GA 30309, Office hours: 8:00 a.m. to 4:30 p.m.

Nashville District Office, Region IV, 297 Plus Park Boulevard, Nashville, TN 37217, Office hours: 8:00 a.m. to 4:30 p.m.

Orlando District Office, Region IV, P.O. Box 118, Orlando, FL 32802, Office hours: 8:00 a.m. to 4:30 p.m.

Chicago District Office, Region V, 433 S. Van Buren Street, Room 1222, Chicago, IL 60607, Working hours: 8:00 a.m. to 4:30 p.m.

Cincinnati District Office, Region V, 1141 Central Parkway, Cincinnati, Ohio 45202, Office hours: 8:00 a.m. to 4:30 p.m.

Detroit District Office, Region V, 1560 East Jefferson Avenue, Detroit, MI 48207, Office hours: 8:00 a.m. to 4:30 p.m.

Minneapolis District Office, Region V, 240 Hennepin Avenue, Minneapolis, MN 55401, Office hours: 8:00 a.m. to 4:30 p.m.

Dallas District Office, Region VI, 3032 Bryant Street, Dallas, TX 75204, Office hours: 8:00 a.m. to 4:30 p.m.

New Orleans District Office, Region VI, 4298 Elysian Fields Avenue, New Orleans, LA 70122, Office hours: 8:00 a.m. to 4:30 p.m.

Kansas City Field Office, Region VII, 1009 Cherry Street, Kansas City, MO 64106, Office hours: 8:00 a.m. to 4:30 p.m.

Denver Field Office, Region VIII, 721 19th Street, U.S. Customhouse, Denver, CO 80202, Working hours: 8:00 a.m. to 4:30 p.m.

San Francisco District Office, Region IX, U.N. Plaza Federal Office Building, Room 526, San Francisco, CA 94102, Working hours: 8:00 a.m. to 4:30 p.m.

Los Angeles District Office, Region IX, 1521 W. Pico Boulevard, Los Angeles, CA 90015, Office hours: 8:00 a.m. to 4:30 p.m.

Seattle Field Office, Region X, 909 1st Avenue, Room 5003, Seattle, WA 98104, Office hours: 8:00 a.m. to 4:30 p.m.

Minneapolis Center for Microbiological Investigations, 240 Hennepin Avenue, Minneapolis, MN 55401, Office hours: 8:00 a.m. to 4:30 p.m.

Winchester Engineering and Analytical Center, 109 Holton Street, Winchester, MA 10890, Office hours: 8:00 a.m. to 4:30 p.m.

Appendix B—General Services Administration Federal Archives and Records Centers

National Centers:

District of Columbia, Maryland, Virginia, and West Virginia, except for U.S. court records for Maryland, Virginia, and West Virginia:
Washington National Records, Washington, D.C. 20409.

National Personnel Records Center (Civilian Personnel Records), 111 Winnebago Street, St. Louis, MO 63118.

National Personnel records Center (Military Personnel Records), 9700 Page Boulevard, St. Louis, MO 63132.

Regional Centers:

GSA Region 1, Maine, Vermont, New Hampshire, Massachusetts, Connecticut and Rhode Island, Federal Archives and Records Center, 380 Trapelo Road, Waltham, MA 02154.

GSA Region 2, New York, New Jersey, Puerto Rico, the Virgin Islands, and the Panama Canal Zone, Federal Archives and Records Center, Military Ocean Terminal, Building 22, Bayonne, NJ 07002.

GSA Region 3, Delaware, Pennsylvania east of Lancaster, and U.S. court records for Maryland, Virginia, and West Virginia, Federal Archives and Records Center, 5000 Wissahickon Avenue, Philadelphia, PA 19144.

Pennsylvania except areas east of Lancaster, Federal Records Center, Defense Activities Building 308, Mechanicsburg, PA 17053.

GSA Region 4, North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky, Federal Archives and Records Center, 1557 St. Joseph Avenue, East Point, GA 30344.

GSA Region 5, Illinois, Wisconsin, Minnesota, and U.S. court records for Indiana, Michigan, and Ohio, Federal Archives and Records Center, 7358 South Pulaski Road, Chicago, IL 60629.

Indiana, Michigan, and Ohio except U.S. court records, Federal Records Centers, 3150 Bertwynn Drive, Dayton, OH 45439.

GSA Region 6, Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area, Federal Archives and Records Center, 2306 East Bannister Road, Kansas City, MO 64131.

Greater St. Louis area (Missouri only), National Personnel Records Center (Civilian Personnel Records), 111 Winnebago Street, St. Louis, MO 63118.

GSA Region 7, Texas, Oklahoma, Arkansas, Louisiana, and New Mexico, Federal Archives and Records Center, P.O. Box 6216, Fort Worth, TX 76115.

Shipping address only (do not use for mail), 4900 Hemphill Street, Building 1, Dock 1, Fort Worth, TX.

GSA Region 8, Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota, Federal Archives and Records Center, Building 48, Denver Federal Center, P.O. Box 25307, Denver, CO 80225.

GSA Region 9, American Samoa, California, except southern California, and Nevada, except Clark County, Federal Archives and Records Center, 1000 Commodore Drive, San Bruno, CA 94066.

Arizona; Clark County, Nevada; and southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Venture, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego), Federal Archives and Records Center, 24000 Avila Road, Laguna Niguel, CA 92677.

GSA Region 10, Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean areas (except American Samoa), Federal Archives and Records Center, 6125 Sand Point Way, Seattle, WA 98115.

09-10-0003

System name: FDA Credential Holder File. HHS/FDA/EDRO.

Security classification: None.

System location: FDA Employees:

Services Management Section (HFA-212), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

Office Services Section (HFA-230), Associate Commissioner for Management and Operations, 200 C Street, SW, Washington, DC 20204.

Administrative Branch at Field/District Offices. For the location of Field/District Offices, see Appendix A to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

State and local Employees:

Division of Federal-State Relations (HFO-30), 5600 Fishers Lane, Rockville, MD 20857.

Administrative Branch at Field/District Offices. For the location of Field/District Offices, see Appendix A to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

For the location of Federal Archives and Record Centers, see Appendix B to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: FDA employees and state and local government employees who have been issued FDA credentials for enforcement activities.

Categories of records in the system: Contains name, job title, social security number, sex, height, weight, date of birth, color of eyes and hair, duty status, and for state and local government employees, professional qualifications.

Authority for maintenance of the system: Sections 702 to 704, the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 372 to 374).

Purpose(s): To issue or reissue credentials which are used to gain entry to regulated establishments.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be disclosed to provide assurance to regulated enterprises that an individual is a duly designated enforcement officer and, in the case of state employees, an officer commissioned as an officer of the Department.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in letter-size manila folders or card files.

Retrievability: Indexed by name.

Safeguards: Masterfile is in locked containers in secured area, locked rooms, and 24-hour guard service. Limited access to Administrative Services Branch, and Management and Operations Staff authorized personnel.

Retention and disposal: Records are retained as long as individual is a duly designated or commissioned official; inactive files destroyed after 6 months. The records are destroyed by shredding, burning, or other appropriate means so as to render them illegible.

System manager(s) and address: FDA Employees:

Chief, Services Management Section (HFA-212), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857

Chief, Office Services Section (HFA-230), Associate Commissioner for Management and Operations, 200 C Street, SW, Washington, DC 20204

Administrative Branch at Field/District Offices. For the location of Field/District Offices, see Appendix A to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Federal-State Officer at Field/District Offices. For the location of Field District Offices, see Appendix A to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

State Employees:

Director, Division of Federal-State Relations (HFO-30), 5600 Fishers Lane, Rockville, MD 20857

Administrative Branch at Field/District Offices. For the location of Field/District Offices, see Appendix A to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Notification procedure: To determine if a record exists, write to:

FDA Privacy Act Coordinator (HFI-30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

State officials should provide state of employment.

Record access procedure: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and (d) notarized signature. (These access procedures are in accordance with FDA regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

09-10-0004

System name: Communications (Oral and Written) With The Public. HHS/FDA/ACMO.

Security classification: None.

System location: Administrative Services Branch (HFA-210), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

Office of Legislative Affairs (HFL-1), Associate Commissioner for Legislative Affairs, 5600 Fishers Lane, Rockville, MD 20857.

Administrative Branch at Field/District Offices. For the location of Field/District Offices, see Appendix A to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Individuals, other than employees of enterprises regulated by FDA, who communicate with FDA or, in some cases, are the subject of communications by others with FDA.

Categories of records in the system: Includes correspondence from and to individuals, summaries of conversations prepared by FDA employees, and records prepared by FDA as a follow-up to consumer complaints, oral and written. Administrative Services Branch files include copies of correspondence received from the public, and the FDA reply. The Office of Legislative Affairs maintains duplicates of letters FDA sends to members of Congress and summaries of oral inquiries in files organized by members' names. The Office of Legislative Affairs maintains a manual control system and the Executive Secretariat, Office of the Commissioner, maintains an automated control system of pending correspondence needing reply.

Authority for maintenance of the system: Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321 et seq.); the Public Health Service Act (42 U.S.C. 201 et seq.), and authority delegated to the Commissioner (21 CFR 5.1).

Purpose(s): To aid FDA employees in carrying out their responsibilities, e.g., responding to follow-up correspondence on complaints, requests for information, etc.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records that indicate violation or potential violation of law may be disclosed in administrative or court proceedings.

In the event that a system of records maintained by this agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, foreign, state, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual files are maintained in letter-size folders.

Retrievability: Records are arranged by company or by subject. A card index gives correspondent's name, date of letter, subject and

location. An automated index is being implemented. Field offices file consumer complaints by complainant's names.

Safeguards: All files are stored in locked cabinets in secured areas, locked buildings, locked rooms, locked file cabinets. Limited access to FDA employees who display an FDA identification card, GAO employees upon approval of GAO Liaison Officer, Operations Coordination Staff, OMO, employes of DHHS agencies other than FDA upon completion of agreement between FDA and the agency concerned, display of Governmental identification card and signing of the Commitment to Protect Privileged Information form.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with FDA's Records Control Schedule. The Records Control Schedule and disposal standard for these records may be obtained by writing to the system manager at the appropriate address below.

System manager(s) and address: Chief, Administrative Services Branch (HFA–210), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

Office of Legislative Affairs (HFL–1), Associate Commissioner for Legislative Affairs, 5600 Fishers Lane, Rockville, MD 20857.

Administrative Branch at Field/District Offices. For the location of Field/District Offices, see Appendix A to system notice 09–10–0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and (d) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained or others (generally members of Congress) who write to FDA about them.

Systems exempted from certain provisions of the act: None.

09–10–0005

System name: State Food and Drug Official File, HHS/FDA/EDRO.

Security classification: None.

System location: Division of Federal-State Relations (HFO–30), 5600 Fishers Lane, Rockville, MD 20857.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09–10–0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: State Officials who have responsibilities related to those of the Food and Drug Administration.

Categories of records in the system: Contains name, date of birth, education and professional experience, and state in which employed.

Authority for maintenance of the system: Section 702(a) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 372(a)).

Purpose(s): To provide to FDA the names of State Officials who have responsibilities related to those of the Food and Drug Administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in letter-size manila folders.

Retrievability: Indexed by name and state.

Safeguards: Maintained in locked files and locked cabinets within a secured area with 24-hour guard service. Limited access to the Office of Policy Management, and Division of Federal-State Relations employees engaged in contracts or any other activity involving commissioning.

Retention and disposal: Records are retained as long as individual is a state employee or until updated by the individual.

System manager(s) and address: Director, Division of Federal-State Relations (HFO–30), 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, Maryland 20857.

Provide name and State of employment.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and (d) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

09–10–0006

System name: Radiation Registry of Physicians. HHS/FDA/BRH.

Security classification: None.

System location: Division of Biological Effects (HFX–100), Bureau of Radiological Health, Twinbrook Research Laboratory, 12709 Twinbrook Parkway, Rockville, MD 20857.

For the location of Federal Archives and Records Centers, see appendix B to system notice 09–10–0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Radiologists and pathologists who were members of American College of Radiology or College of American Pathologists between 1961 and 1972.

Categories of records in the system: Contains ID number, name, demographic characteristics, radiation exposure history, medical history of conditions affected by radiation, and date and cause of death, if deceased.

Authority for maintenance of the system: Section 356 of the Public Health Service Act (42 U.S.C. 263d) as amended by Pub. L. 90–602, the Radiation Control for Health and Safety Act.

Purpose(s): To provide statistical analysis of compiled data for epidemiologic studies of long term effect of chronic exposure to low levels of ionizing radiation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be matched with outside agencies/educational institutions to obtain additional epidemiological, medical, and mortality information.

A record may be disclosed for a research purpose, when the Department has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on microfiche, magnetic tape or disc, and punch cards. The original basic data forms in letter-size folders have been boxed and stored at a Federal Records Center.

Retrievability: Indexed by ID number. An individual identifier index is maintained separate from the data.

Safeguards: Basic data identified by number only are stored in cabinets in a file area. The individual identifier index is stored in a locked cabinet. The building and controlling record section are locked. Locked computer rooms and tape vaults, password protection of computerized records, access limited to Bureau of Radiological Health Staff.

Retention and disposal: Records are retained as long as there is a foreseeable need for additional research and data analysis. Disposal methods include burning or shredding paper materials and erasing computer tapes.

System manager(s) and address: Chief, Epidemiologic Studies Branch, Division of Biologic Effects (HFX–100), Bureau of Radiological Health, Twinbrook Research Laboratory, 12709 Twinbrook Parkway, Rockville, MD 20857.

Mailing address: 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

An individual who requests notification of, or access to, a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and (d) notarized signature.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained and death certificates.

Systems exempted from certain provisions of the act: None.

09–10–0007

System name: Science Advisor Research Associate Program (SARAP). HHS/FDA/EDRO.

Security classification: None.

System location: Research Branch, Division of Field Operations (HFO–620), Executive Director of Regional Operations, 5600 Fishers Lane, Rockville, MD 20857.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09–10–0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: FDA field personnel who have applied to participate in full-time research effort under the program.

Categories of records in the system: Contains name, curriculum vitae, description of research proposal, budget, and statement of career goals.

Authority for maintenance of the system: Section 702(a) of the Federal Food, Drug, and Cosmetic Act [(21 U.S.C. 372(a))]; Sections 301 of the Public Health Service Act (42 U.S.C. 241) and 311 of the PHS Act (42 U.S.C. 243).

Purpose(s): To monitor the progress of research objectives of approved individual SARAP research projects.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in letter-size manila folders.

Retrievability: Indexed by name.

Safeguards: Files are maintained in secured file containers or in secured file area with personnel screening, 24-hour guard services, and limited access to Research Branch support and technical staff, as well as District's Supervisory Investigators and Management employees.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with FDA's Records Control Schedule. The Records Control Schedule and disposal standard for these records may be obtained by writing the system manager at the address below.

System manager(s) and address: Director, Research Branch, Division of Field Science (HFO–620), Executive Director of Regional Operations, 5600 Fishers Lane, Rockville, MD 20857.

Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of material desired; and (d) notarized signature.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

09–10–0008

System name: Radiation Protection Program Personnel Monitoring System. HHS/FDA/BRH.

Security classification: None.

System location: Office of Health Affairs (HFX–3), Bureau of Radiological Health, 1901 Chapman Avenue, Rockville, MD 20857.

At the location of a selected qualified contractor who provides thermoluminescent badge service on an annual bid basis. A current list of contractor sites is available by writing to the system manager at the address below.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09–10–002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Personnel in clinics, laboratories, hospitals, research facilities, etc., who work with ionizing radiation sources required to be monitored by Nuclear Regulatory Commission regulations.

Categories of records in the system: Contains name, date of birth, social security account number, job code, period of exposure, effective date, and radiation exposure value.

Authority for maintenance of the system: Atomic Energy Act of 1954 (68 Stat. 919 et seq.). Nuclear Regulatory Commission Regulations, 10 CFR Part 20.

Purpose(s): To monitor incremental and accumulated exposure to ionizing radiation for radiation protection purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Results are disclosed to employers, i.e., clinics, laboratories, etc.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on magnetic disc computer data bank, with back-up stored securely off-site. Hard copies are maintained in letter-size folders.

Retrievability: Indexed by name and by facility.

Safeguards: Computer software is password protected and access is restricted by Resource Access Control Facility (RACF). Hard copies are filed in secured files, locked buildings, locked rooms and controlling security personnel stationed at key access points to the record area. Access limited to authorized Bureau of Radiological Health agency and contractor personnel. The contractor is required to maintain confidentiality safeguards with respect to these records.

Retention and disposal: Indefinite retention on magnetic disc.

System manager(s) and address: Radiation Safety Officer (HFX-3), 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI-30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; (d) notarized signature.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

09-10-0009

System name: Special Studies and Surveys on FDA-Regulated Products. HHS/FDA/ACMO.

Security classification: None.

System location: Negotiated Contracts Branch (HFA-510), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

A current list of contract sites is available by writing to the system manager at the address below.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Individuals, specialty groups, and households participating voluntarily in FDA-sponsored studies and surveys.

Categories of records in the system: Data collected vary with each study/survey. Normal standard information for individuals, household members, or patient's medical records, varies but could include name, age, sex, marital status, address or locale of residence, etc. Nondemographic items relate to experience with, or opinions about, a particular product.

Authority for maintenance of the system: Section 701(a) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 301 et seq.).

Purpose(s): Used to provide data on individuals, specialty groups, e.g., physicians and households participating voluntarily in FDA-sponsored studies and surveys.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Questionnaires and data are filed in standard filing equipment. Some statistical data are stored on magnetic tape.

Retrievability: Accessed by ID number assigned by contractor during collection process. Individual files are maintained in agency and contractor's custody until all collection procedures are completed.

Safeguards: Questionnaires and data are maintained in locked containers in secured area. Magnetic tapes are maintained in secure computer facilities with access limited to program personnel with knowledge of the computer password, which is changed periodically. Locked buildings, locked rooms, locked file cabinet, and locked tape valuts. Two or more of these safeguards are used for all records covered by this system notice. The particular safeguards used are selected as appropriate for the type of record covered by this system. The contractor is required to maintain confidentiality safeguards with respect to these records.

Retention and disposal: Questionnaires and data are retained until all statistical problems are resolved; then destroyed. The records are destroyed by shredding, burning, or other appropriate means so as to render them illegible.

System manager(s) and address: Chief, Negotiated Contracts Branch (HFA-510), 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a reocrd exists, write to: FDA Privacy Act Coordinator (HFI-30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

An individual who requests notification of, or access to, a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and if possible, the name of the person who collected the data; (e) notarized signature. (These access procedures are in accordance with FDA regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained or patient's medical records, depending on the type of survey or study.

Systems exempted from certain provisions of the act: None.

09-10-0010

System name: Bioresearch Monitoring Information System. HHS/FDA/BD.

Security classification: None.

System location: Division of Scientific Investigations (HFD-180), Bureau of Drugs, 5600 Fishers Lane, Rockville, MD 20857.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Clinical investigators who are conducting, or have conducted, clinical studies of new drugs under investigational new drug exemption requests.

Categories of records in the system: Automated file is maintained on all clinical investigators; contains name, education, professional qualifications and background, and information on studies being conducted. Manual file contains, in addition to that same information, investigatory material collected by, or developed by, FDA, during investi-

gations of possible violations of statutes and regulations governing new drug studies.

Authority for maintenance of the system: Section 505(i)(3), Federal Food, Drug, and Cosmetic Act (21 U.S.C. 355(i)(3)); 21 CFR Part 312 (New drugs for investigational use).

Purpose(s): To provide the clinical investigators, who have conducted clinical studies, information on new drugs under investigational new drug exemption requests. To provide controls to assure that investigators meet requirements of statute or regulations governing new drug studies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records that indicate violation or potential violation of law may be: (1) referred for investigation and possible enforcement action under the Federal, State, or foreign laws to the Department of Justice, an appropriate State food and drug enforcement agency or licensing authority, or the government or a foreign country where studies are being or have been conducted; or (2) disclosed in administrative or court proceedings.

Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation, determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Files compiled of investigations of possible violations of statutes and regulations are maintained in letter-size manila folders. Automated file is maintained on magnetic tape.

Retrievability: Indexed by name.

Safeguards: All files, including printouts and computer output microfilm, are stored in secured areas, locked buildings, locked rooms, and locked tape vaults. Access is limited to staff of the Division of Scientific Investigations, and the Division of Drug Information Resources, Bureau of Drugs, and the District Consumer Safety Officers who gather data during inspections and investigations.

Retention and disposal: Records output from the system for referenced printout or computer output microfilm are retained for one update cycle, or quarterly. Disposal of records is accomplished through a disintegrator.

System manager(s) and address: Director, Division of Scientific Investigations (HFD–180), Bureau of Drugs, 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; (d) if possible, the name of the person who collected the data; (e) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)). Access to record systems which have been granted an exemption from the Privacy Act requirements may be made at the discretion of the system manager. If access is denied to requested records, an appeal may be made to: Commissioner, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Contesting record procedures: If access has been granted, contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained. Some material is obtained from third parties, e.g., drug companies, publications, or is developed by FDA.

Systems exempted from certain provisions of the act: This system is exempt from access and contest and certain other provisions of the Privacy Act (5 U.S.C. 552a(c)(3), (d) (1) to (4), (e)(3), (e)(4) (G) to (H) and (f) to the extent that it includes investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes, where access would be likely to prejudice the conduct of the investigation.

09–10–0011

System name: Certified Retort Opertors. HHS/FDA/BF.

Security classification: None.

System location: Division of Food Technology (HFF–210), Bureau of Foods, 200 C Street, SW., Washington, DC 20204.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09–10–0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Food industry employees who have attended courses of instruction relating to operation of retorts.

Categories of records in the system: Contains name and training records.

Authority for maintenance of the system: Section 404 of the Federal Food, Drug and Cosmetic Act (21 U.S.C. 344); 21 CFR 128b.10.

Purpose(s): To ascertain that programs exist in regulated establishments relating to food industry employees instructed in operating retorts.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records in this system showing that a low-acid canned food establishment not having supervised canning retort operations may be: (1) referred for investigation and possible enforcement action against the company and responsible officials, to the Department of Justice, or appropriate State food and drug law enforcement agencies, or (2) disclosed in administrative or court proceedings in determining whether a record is relevant to an agency decision concerning documents of investigatory materials.

Most records in the system may be disclosed (1) under the Freedom of Information Act (5 U.S.C. 522) or (2) to a food company who may be advised as to whether an individual has satisfied FDA requirements.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in standard filing equipment and on magnetic tape.

Retrievability: Indexed by name.

Safeguards: Magnetic tapes are stored in locked containers in secured area. Individual printouts/original hard copy records are stored in regular administrative files, maintained in secured file area or secured file containers. Locked buildings, and secured tape vaults. Limited access to Bureau of Foods Staff and Program/Planning Section authorized personnel.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with FDA's Records Control Schedule. The Records Control Schedule and disposal standard for these records may be obtained by writing to the system manager at the address below.

System manager(s) and address: Director, Division of Food Technology (HFF–210), 200 C Street, SW., Washington, DC 20204.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and (d) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under the Notification Procedure and reasonably identify the record, specify the information to be contested, and state the corrective action sought (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Educational institutions that conduct retort operator training.

Systems exempted from certain provisions of the act: None.

09-10-0012

System name: Association of Official Analytical Chemists (AOAC) Member File, HHS/FDA/AOAC.

Security classification: None.

System location: FDA Liaison Office for AOAC, 200 C Street, SW., Washington, DC 20204.

Categories of individuals covered by the system: AOAC committee members, subcommittee members, referees and associate referees (employed by FDA, related Federal or state agencies, universities, or regulated industry). Shows individuals involved in AOAC scientific activities, e.g., developing methods for determining adulteration of food, drugs, etc.

Categories of records in the system: Contains name, address, telephone number, and area of study.

Authority for maintenance of the system: Section 702(a) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 372(a); section 301 of the Public Health Service Act (42 U.S.C. 241).

Purpose(s): To provide a service for AOAC on its committee membership. Primary use of the system is the preparation of an annual publication listing AOAC projects.

To provide a mailing list and to identify individuals who may be asked to assist FDA.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provided to the Department of Agriculture, Environmental Protection Agency, and the various state agencies that have an interest in development of official analytical methods.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in letter-size manila folders, card file, and on magnetic tape.

Retrievability: Indexed by name.

Safeguards: Masterfile is in locked containers in secured area. Individual files are maintained with other administrative files in locked file cabinets. Locked buildings, locked rooms, 24-hour guard service, locked tape vaults, and limited access to analytical chemists, physicists, and persons directly involved in AOAC activities.

Retention and disposal: Records are retained as long as an individual is a participating member, then destroyed. The records are destroyed by shredding, burning, or other appropriate means so as to render them illegible. Magnetic computer tapes and discs are erased.

System manager(s) and address:

FDA Liaison Officer for AOAC, 200 C Street, SW., Washington, DC 20204.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI-30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and (d) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

09-10-0013

System name: Employee Conduct Investigative Records, HHS/FDA/ACMO.

Security classification: None.

System location: Policy Management Staff (HFA-20), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09-10-0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Employees or former employees, or special Government employees of FDA who are alleged to have violated FDA or Departmental regulations and/or Federal statutes.

Categories of records in the system: This system includes records relating to correspondence concerning an individual's employment status or conduct while employed by FDA. Examples of these records include: correspondence from employees, Members of Congress and members of the public alleging misconduct by an official of FDA. It also contains reports of investigations to resolve allegations of misconduct or violations of statutes, with related exhibits of statements, affidavits or records obtained during the investigation; reports of action taken by management deciding action on any misconduct substantiated by the investigation; and reports of legal action resulting from violations of statutes referred for prosecution.

Authority for maintenance of the system: 5 U.S.C. 301; Title 18, U.S.C. (e.g., 18 U.S.C. 201, 203, 205, 207, 208, 209, 1905); 21 U.S.C. 331; 28 U.S.C. 535(b); 44 U.S.C. 3101; E.O. 10450 and 11222; 45 CFR Part 73.

Purpose(s): To provide management with information needed to take actions against complaints or alleged violations. These complaints may be referred to the Office of Investigations and Security, Office of the Secretary, HHS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records that indicate violation or potential violation of law may be: (1) referred for investigation and possible enforcement action under the applicable Federal, state, or foreign laws to the Department of Justice; an appropriate state food and drug enforcement health agency or licensing authority; or the government of a foreign country; or (2) disclosed in administrative or court proceedings in determining whether a record is relevant to an agency decision concerning documents of investigatory materials.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, in folders, in file cabinets.

Retrievability: Alphabetical by name.

Safeguards: Records are maintained in locked rooms within a locked secured area protected by a 24-hour building guard service. Limited access to Policy Management Staff and authorized Support Staff of the Management and Operations Section.

Retention and disposal: Records are retained until 5 years after termination of employment of subject individual or when no longer needed for reference. Disposal of records is accomplished by shredding, burning, or other appropriate means so as to render them illegible.

System manager(s) and address: Director, Policy Management Staff (HFA-20), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI-30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; (d) if possible, the name of the person who collected the data; (e) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40).) Access to record systems which have been granted an exemption from the Privacy Act access re-

quirement may be made at the discretion of the system manager. If access is denied to requested records, an appeal may be made to: Commissioner, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Contesting record procedures: If access has been granted, contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50).)

Record source categories: Information in this system of records is obtained from FDA personnel and records, subjects of investigation, complaints, witnesses, other Federal agencies, State and local agencies, and personal observation by the investigator.

Systems exempted from certain provisions of the act: This system is exempt from access and contest and certain other provisions of the Privacy Act (5 U.S.C. 552a (c)(3), (d) (1) to (4), (e)(3), (e)(4) (G) to (H), and (f)), to the extent that it includes investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes.

09–10–0014

System name: Service Contractor Employee Investigative Records. HHS/FDA/ACMO.

Security classification: None.

System location: Policy Management Staff (HFA–20), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09–10–0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Employees of service contractors who must have access to FDA-secured areas or FDA file material; employees of contractors who provide janitorial, guard and maintenance services for FDA facilities.

Categories of records in the system: This system includes records of pre-employment checks of individuals who have access to FDA facilities during security hours, and correspondence concerning an individual's employment status or conduct while having such access. Examples of such correspondence include Reports of Investigations to resolve allegations of misconduct or of violations of law, with related exhibits of statements, affidavits or records obtained during the investigation; reports of action taken by management deciding action on any misconduct substantiated by the investigation; and reports of legal action resulting from violations of statutes referred for prosecution.

Authority for maintenance of the system: 5 U.S.C. 301, Title 18, U.S.C. (e.g., 18 U.S.C. 1905); 21 U.S.C. 331; 44 U.S.C. 3101.

Purpose(s): To determine if the employees of service contractors shall have access to FDA facilities. Also provides management with information to take actions on complaints or alleged violations. These complaints may be referred to the Office of Investigations and Security, Office of Secretary, HHS.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records that indicate violation or potential violation of law may be: (1) referred for investigation and possible enforcement action under the applicable Federal, state, or foreign laws to the Department of Justice; an appropriate state food and drug enforcement health agency or licensing authority; or the government of a foreign country; or (2) disclosed in administrative or court proceedings in determining whether a record is relevant to an agency decision concerning documents of investigatory materials.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records, in folders, in file cabinets.

Retrievability: Alphabetical by name.

Safeguards: Records are maintained in locked rooms within a locked secured area protected by a 24-hour guard building service. Limited access to supervisors, analysts, and Policy Management Staff personnel.

Retention and disposal: Records are retained until 5 years after termination of employment of subject individual or when records are no longer needed for reference. Disposal of records is accomplished by shredding, burning, or other appropriate means so as to render them illegible.

System manager(s) and address: Director, Policy Management Staff (HFA–20), 5600 Fishers Lane, Rockville, MD. 30857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; (d) if possible, the name of the person who collected the data; (e) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)). Access to record systems which have been granted an exemption from the Privacy Act access requirement may be made at the discretion of the system manager. If access is denied to requested records, an appeal may be made to: Commissioner, Food and Drug Administration, 5600 Fishers Lane, Rockville, Maryland 20857.

Contesting record procedures: If access has been granted, contact the official at the address specified in Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Information in this system of records is obtained from industrial, employment and police records; subjects of investigations; complaints; witnesses; other Federal agencies; state and local agencies; and personal observation by the investigator.

Systems exempted from certain provisions of the act: This system is exempt from access and contest and certain other provisions of the Privacy Act (5 U.S.C. 552a(c)(3), (d)(1) to (4), (e)(3), (e)(4)(g) to (H), and (f), to the extent that it includes investigatory material compiled for law enforcement purposes, including criminal law enforcement purposes.

09–10–0015

System name: Blood Donors for Tissue Typing Sera and Cell Analysis and Related Research. HHS/FDA/BB.

Security classification: None.

System location: Histocompatibility Laboratory, Division of Blood and Blood Products (HFB–200), Bureau of Biologics, 8800 Rockville Pike, Bethesda, Maryland 20205.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09–10–0002, Regulatory Industry Employee Enforcement Records, HHS/FDA/AMCO.

Categories of individuals covered by the system: Volunteer blood donors and patients of the National Naval Medical Center and the National Institutes of Health Clinical Center requiring tissue typing who also volunteer to be part of the system.

Categories of records in the system: Records contain name, address, phone number, sex, religion, race, age, disease (if any), number of pregnancies, number of children, and the results of blood typing.

Authority for maintenance of the system: Public Health Service Act, section 351, 42 U.S.C. 262.

Purpose(s): To provide data to be used in evaluating histocompatability testing sera submitted by manufacturers for approval and release on the market.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: On occasion, the National Institutes of Health Clinical Center and the National Naval Medical Center request that the Bureau perform tissue typing for their patients. In these instances, it is necessary to provide the physician involved with precise data to properly identify the patient.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physi-

cal condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Standard filing equipment, and on magnetic tapes, and disks.

Retrievability: Usually by an assigned 'cell number.' Also, alphabetically, by name.

Safeguards: Forms in locked filing equipment. Tapes and disks in secure computer facility with access limited to individuals having knowledge of 'password' which is changed periodically.

Retention and disposal: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with FDA's Records Control Schedule. The Records Control and disposal standard for these records may be obtained by writing to the system manager at the address below.

System manager(s) and address: Director, Division of Blood and Blood Products (HFB–200), Histocompatibility Laboratory, Bureau of Biologics, 8800 Rockville Pike, Bethesda, MD 20205.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

An individual who requests notification of, or access to, a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and (d) notarized signature.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information to be contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Volunteer blood donors and patients of the National Naval Medical Center and the National Institutes of Health Clinical Center.

Systems exempted from certain provisions of the act: None.

09–10–0017

System name: Epidemiological Research Studies of the Bureau of Radiological Health. HHS/FDA/BRH.

Security classification: None.

System location: Epidemiologic Studies Branch (HFX–130), Division of Radiological Effects, Bureau of Radiological Health, Twinbrook Research Laboratory, 12709 Twinbrook Parkway, Rockville, MD 20857.

For the location of Federal Archives and Records Centers, see Appendix B to system notice 09–10–0002, Regulated Industry Employee Enforcement Records, HHS/FDA/ACMO.

Categories of individuals covered by the system: Persons who have been exposed to radiation (ionizing, nonionizing, sonic) from either medical, occupational or environmental sources; patients with cancer, birth defects, or other diseases or conditions resulting from radiation exposure; unexposed persons (e.g., family members) for the purpose of making comparisons.

Categories of records in the system: ID number, Social Security number which is supplied on a voluntary basis, name, demographic characteristics, radiation exposure, occupational and personal health histories, medical data, and information on or from death certificates, if deceased.

Authority for maintenance of the system: Public Health Service Act, Sections 301, 310, 354, 356 and 357, 42 U.S.C. 241, 242A, 263b, 263c and 263d. Federal Food, Drug, and Cosmetic Act, Section 702(a), 21 U.S.C. 372(a). Reorganization Plan No. 3 of 1970, Section 2.

Purpose(s): To maintain records used by epidemiologists, statisticians, and authorized staff for epidemiological research and analyses on the effect of radiation exposure.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: A record may be disclosed for a research purpose, when the Department has required the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or distruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is remove or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law.

Records in the system may be made available to Federal, state, and local agencies having an interest in protecting the public from the effects of radiation.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the Defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity, (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components, or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, on punch cards and on magnetic tape and discs, computer printouts and on microfiche.

Retrievability: Records are retrieved by name and number.

Safeguards: Name listings and log books containing information to permit in the identification of an individual, and microfilmed records are kept in locked files with access limited to Epidemiologic Studies Branch authorized personnel and designated employees of the Bureau of Radiological Health. Data Collection instruments (questionnaires, report forms) are stored either in file cabinets after all identifiers are removed, in locked file cabinets, or a locked room. Locked buildings and password protection for computer files.

Retention and disposal: One year to permanently, depending on the length of patient follow-up required to complete all phases of the study. The records are destroyed by shredding, burning, or other appropriate means so as to render them illegible. Computer tapes and discs are erased.

System manager(s) and address: Chief, Epidemiologic Studies Branch (HFX–130), Division of Biological Effects, Bureau of Radiological Health, 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. Proof(s) of identity required include: (a) full name; (b) approximate date of record(s); (c) the nature of the material desired; and (d) notarized signature. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40).) An individual who requests notification of, or access to, a medical record shall at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50).)

Record source categories: Individuals in the system of records, employers, health care providers and facilities, administrative and vital statistics agencies.

Systems exempted from certain provisions of the act: None.

09–10–3018

System name: Employee Identification Card Information Record. HHS/FDA/ACMO.

Security classification: None.

System location: Services Management Section (HFA–212), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

Office Services Section (HFA–230), Associate Commissioner for Management and Operations, 200 C Street SW., Washington, DC 20204.

Administrative Branch at Field/District Offices. For the location of Field/District Offices, see Appendix A to system notice 09–10–0002, Regulated Industry Employee Enforcement Records (HHS/FDA/ACMO).

Categories of individuals covered by the system: Approximately 8,000 FDA employees.

Categories of records in the system: Contains name, mailing routing code, office telephone, building, room number, birthdate, identification photograph, height, color of eyes, and type of appointment.

Authority for maintenance of the system: 40 U.S.C. 471, et seq; Management and Disposal of Government Property Act.

Purpose(s): The system was designed to maintain a record of all holders of FDA identification cards, Forms FD 1887 and 1887h, for renewal and recovery purposes and to identify numbers of lost or stolen cards. The system may also be used at FDA Headquarters to locate employees whose names have not been entered in the FDA locator system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Forms filed in folders in a locked filing cabinet. Computer tapes and discs stored in a locked safe.

Retrievability: Information is filed and retrieved by name and date of birth both on the forms and at Headquarters on a minicomputer.

Safeguards: All Forms FD 2923 are kept in locked file cabinets. The minicomputers at Headquarters are maintained in secured areas with access limited to authorized personnel whose official duties required access for issuance, renewal, retrieval, and location purposes. ADP security safeguards meet the requirements of FDA's ADP Security Management Plan for the implementation of Part 6 'ADP Systems Security' of HHS ADP Systems Manual.

Retention and disposal: Records are maintained as long as the ID cards are valid. Computer tapes are erased immediately upon termination of employment and inactive forms are destroyed after 6 months by shredding.

System manager(s) and address: Chief, Administrative Services Branch (HFA–210), Associate Commissioner for Management and Operations, 5600 Fishers Lane, Rockville, MD 20857.

Notification procedure: To determine if a record exists, write to: FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, Maryland 20857.

In order to ascertain if a record exists, the individual must provide his/her name and any other names officially used during period of employment.

Record access procedures: Same as Notification Procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with FDA Regulations (21 CFR 21.40)).

Contesting record procedures: Contact the official at the address specified under Notification Procedure above and reasonably identify the record, specify the information being contested, and state the corrective action sought. (These procedures are in accordance with FDA Regulations (21 CFR 21.50)).

Record source categories: Individual on whom the record is maintained.

Systems exempted from certain provisions of the act: None.

Social Security Administration

SYSTEM NUMBER AND SYSTEM NAME

09-60-0001--Commissioner's Correspondence File, HHS/SSA/OC.
09-60-0002--Automated Controlled Correspondence Extraction System, HHS/SSA/OGA.
09-60-0003--Hearing File, HHS/SSA/OHA.
09-60-0004--Appeals File, HHS/SSA/OHA.
09-60-0005--Hearing Office File, HHS/SSA/OHA.
09-60-0008--Administrative Law Judge's File, HHS/SSA/OHA.
09-60-0009--Hearings and Appeals Case Control System, HHS/SSA/OHA.
09-60-0012--Listing and Alphabetical Name File (Folder) of Vocational Experts, Medical Advisors and Medical Consultants, HHS/SSA/OHA.
09-60-0013--Records of Usage of Medical Advisors and Medical Consultants, HHS/SSA/OHA.
09-60-0014--Curriculum and Professional Qualifications of Staff Physicians, Medical Advisors, Medical Consultants and Resume of Vocational Experts, HHS/SSA/OHA.
09-60-0015--List of Physicians Utilized as Readers of Black Lung X-Ray Films, HHS/SSA/OHA.
09-60-0017--Personnel Research and Merit Promotion Test Records, HHS/SSA/OMBP.
09-60-0030--Employee Housing Request Files, HHS/SSA/OMBP.
09-60-0031--Employee Production and Accuracy Records, HHS/SSA/OMBP.
09-60-0032--Debtor, Credit Credit Counseling and Consumer Protection, HHS/SSA/OMBP.
09-60-0033--Request for Review of Proposed Contracts with Experts and Consultants, HHS/SSA/OMBP.
09-60-0037--General Criminal Investigation Files, HHS/SSA/OMBP.
09-60-0038--Employee Identification Card Files (Building Passes), HHS/SSA/OMBP.
09-60-0040--Quality Review System, HHS/SSA/OA.
09-60-0042--Quality Review Case Files, HHS/SSA/OA.
09-60-0044--Disability Determination Service Processing File, HHS/SSA/ODP.
09-60-0045--Black Lung Payment System, HHS/SSA/OURV.
09-60-0046--Consultative Physician File, HHS/SSA/ODP.
09-60-0047--Critical Case Processing Time, HHS/SSA.
09-60-0049--Disability Data Record, HHS/SSA.
09-60-0050--Completed Determination Record - Continuing Disability Determinations, HHS/SSA.
09-60-0051--Administrative Disallowance Records for Technical Denials, HHS/SSA.
09-60-0052--Disposition of Vocational Rehabilitation Report to Social Security Administration, HHS/SSA/ODP.
09-60-0053--Reimbursement From Trust Fund for Vocational Rehabilitation Services, HHS/SSA/ODP.
09-60-0056--Vocational Rehabilitation Savings Calculations, HHS/SSA/ODP.
09-60-0057--Quality Evaluation Data Records, HHS/SSA/OA.
09-60-0058--Master Files of Social Security Number Holders, HHS/SSA/OEER.
09-60-0059--Earnings Recording and Self-Employment Income System, HHS/SSA/OEER.
09-60-0063--Resource Accounting and Project Management System, HHS/SSA/OS.
09-60-0065--Direct Input Source Documents, HHS/SSA/ARC-FO.
09-60-0066--Claims Development Record, HHS/SSA/ARC-FO.
09-60-0069--Record of Claims (Microfiche), HHS/SSA/ARC-FO.
09-60-0075--Congressional Bills File, HHS/SSA/ARC-FO.
09-60-0077--Congressional Inquiry File, HHS/SSA/ARC-FO.
09-60-0078--Public Inquiry Correspondence File, HHS/SSA/ARC-FO.
09-60-0080--Problem Case File, HHS/SSA/ARC-FO.
09-60-0081--Problem Case File (Supplemental Security Income), HHS/SSA/ARC-FO.
09-60-0082--Forced Payment File (Supplemental Security Income), HHS/SSA/ARC-FO.
09-60-0083--One Time Payment File, HHS/SSA/ARC-FO.
09-60-0084--Control File for Cases Before Presiding Officers, HHS/SSA/ARC-FO.
09-60-0085--Claims Leads, HHS/SSA/ARC-FO.
09-60-0089--Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits, HHS/SSA/OOPP.
09-60-0090--Master Beneficiary Record, HHS/SSA/OURV.
09-60-0091--Social Security Administration Claims Control System, HHS/SSA/OURV.
09-60-0092--Automated Control For Case Folders, HHS/SSA/OURV.
09-60-0094--Recovery Accounting for Overpayments, HHS/SSA/OURV.
09-60-0095--Health Insurance Overpayment Ledger Cards, HHS/SSA/OURV.
09-60-0097--Program Integrity Case Files, HHS/SSA/OA.
09-60-0102--Fee Ledger System for Representatives, HHS/SSA/OIP.
09-60-0103--Supplemental Security Income Record, HHS/SSA/OURV.
09-60-0110--Supplemental Security Income File of Refunds, HHS/SSA/OURV.
09-60-0111--Debit Voucher File (Supplemental Security Income), HHS/SSA/OURV.
09-60-0117--Age at First Payment of Retirement Insurance Benefits, HHS/SSA/OP.
09-60-0118--Non-Contributory Military Service Reimbursement System, HHS/SSA/OP.
09-60-0119--Special Age 72 Benefit Trust Fund Transfer Project, HHS/SSA/OP.
09-60-0128--Retirement, Survivors and Disability Insurance Claims Study, HHS/SSA/OA.
09-60-0129--Adjudication of Supplemental Security Income Claims Study, HHS/SSA/OA.
09-60-0148--Matches of Internal Revenue Service and Social Security Administration Data with Census Survey Data (Joint Social Security Administration/Census Statistics Development Project), HHS/SSA/OP.
09-60-0149--Matches of Internal Revenue Service and Social Security Administration Data (Joint Social Security Administration/Treasury Department Statistics Development Project), HHS/SSA/OP.
09-60-0159--Continuous Work History Sample (Statistics), HHS/SSA/OP.
09-60-0184--Hearing Office Master Calendar, HHS/SSA/OHA.
09-60-0186--SSA Litigation Tracking System, HHS/SSA/OR.
09-60-0196--Disability Studies Survey Records (Statistics), HHS/SSA/OP.
09-60-0198--Extramural Research Administrative File, HHS/SSA/OP.
09-60-0199--Extramural Survey (Statistics), HHS/SSA/OP.
09-60-0200--Retirement and Survivors Studies, Surveys, Records and Extracts (Statistics), HHS/SSA/OP.
09-60-0202--Old Age, Survivors and Disability Beneficiary and Worker Records and Extracts (Statistics), HHS/SSA/OP.
09-60-0203--Supplemental Security Income Studies, Records and Extracts (Statistics), HHS/SSA/OP.
09-60-0206--Repatriate Records System, HHS/SSA/OFA.
09-60-0208--Program Integrity Management Information and Control System, HHS/SSA/OA.
09-60-0209--Readership Surveys of the Office of Research and Statistics, HHS/SSA/OP.
09-60-0210--Record of Individuals Authorized Entry to the Secured Automated Data Processing Area (ADP) Area, HHS/SSA/OMBP.
09-60-0212--Supplemental Security Income Operational Quality Maintenance System, HHS/SSA/OA.
09-60-0213--Quality Review of Hearing Processing System, HHS/SSA/OHA.
09-60-0214--Personal Identification Number File, (PINFile), HHS/SSA/OA.
09-60-0216--Indochina Refugee, Refugee Financial Assistance System, HHS/SSA/ORR.
09-60-0217--Cuban Refugee Registration Records, HHS/SSA/ORR.

09-60-0001

System name: Commissioner's Correspondence File, HHS/SSA/OC.

Security classification: None.

System location:

Room 922 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

Room 656G Hubert H. Humphrey Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Categories of individuals covered by the system: Any person or group who may write directly to the Commissioner.

Categories of records in the system: The Commissioner's incoming personal correspondence.

Authority for maintenance of the system: Section 205 of the Social Security Act.

Purpose(s): This system is established solely for reference when replying to subsequent inquiries.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper files, stored in filing cabinets; magnetic tape stored in secured enclosure.

Retrievability: SSA indexes files in this system by the name of the correspondent.

Safeguards: SSA maintains paper records in this system in locked cabinets. Computer records are accessed via confidential passwords. Data in this system are accessible to Executive Secretariat clerical staff only.

Retention and disposal: SSA destroys files in this system by shredding when deemed appropriate - we hold general correspondence 2 years. Computer files are archived after 6 months.

System manager(s) and address:

Chief, Support Services Staff
Executive Secretariat
922 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

Room 656G Hubert H. Humphrey Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the following address:

Office of the Commissioner
922 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

When requesting notification or access to a record in this system, an individual should refer to this system and provide his or her name and return address. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requestors should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Incoming correspondence.

Systems exempted from certain provisions of the act: sNone.

09-60-0002

System name: Automated Controlled Correspondence Extraction System, HHS/SSA/OGA.

Security classification: None.

System location:

Office of Public Inquiries
6401 Security Boulevard
Baltimore, Maryland 21235

Medicare Bureau
Health Care Financing Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Office of Disability Operations
Dickenson Tower Building
1500 Woodlawn Drive
Baltimore, Maryland 21241

Office of Hearings and Appeals
Ballston Center
Tower 2
800 North Randolph Street
Arlington, Virginia 22204

Categories of individuals covered by the system: Records are maintained for individuals who forward a request for information directly to the Commissioner of the Social Security Administration and for individuals whose requests to members of Congress, the President, etc. are forwarded to the Commissioner for response.

Records also are maintained on social security beneficiaries or persons inquiring on their behalf who are reporting failure to receive a check or checks which they believe are due or are inquiring about other matters which have been determined to be of a critical or sensitive nature.

Categories of records in the system: Information is maintained in the system solely to aid in the control of correspondence through the various processing steps. Information in the records includes the following: name of individual involved, social security number (if given), name of third party inquirer (if present), type of correspondence, organizational component having initial responsibility for the inquiry, Congressman's name (if a congressional inquiry), inquiry source code (indicates which congressman's office referred an inquiry to SSA), address-to-code (official to whom inquiry is directed), signature code (official whose name will appear on the reply) computer identification code (10 digit code cross referred to the name of the individual), subject matter code, location of information (component within the Social Security Administration that received the inquiry and date of receipt), and response information (type and date of Social Security Administration response).

Authority for maintenance of the system: Sections 205(a) and 1631 of the Social Security Act, and Section 413 of the Federal Coal Mine Health and Safety Act (Black Lung).

Purpose(s): This system is used to control processing of correspondence within the Social Security Administration Central Office complex and the Office of Hearings and Appeals in Arlington, Virginia, and to provide management information regarding the correspondence process.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the inquirer; may include contact with the Department of the Treasury to determine if payment was issued or check returned for cash.
3. To respond to the inquirer.
4. To the Department of the Treasury to determine if payment was issued or returned for cash.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The records are maintained on magnetic tape and computer discs.

Retrievability: The system is indexed by both name and by computer identification number, which are cross-referred.

Safeguards: Magnetic tape and disc files are protected through standard security measures used for all of the Social Security Administration's computer records. Paper records are subject to the same safeguards as all other information in the Social Security Administration relating to claims and beneficiary records--limited access to social security offices, limited employee access to those that have a need to know; all employees receive instruction in Social Security Administration confidentiality rules in an initial orientation. Guidelines contained in the FIPS PUB 41, Computer Security Guidelines for Implementing the Privacy Act of 1974; FIPS PUB 31, Guidelines for Automatic Data Processing Physical Security and Risk Management, and FIPS PUB 3, ADP System Security Required by the Privacy Act of 1974, were taken into account in development of these safeguards.

Retention and disposal: Records are maintained on-line in the system from the time of control until 13 months after the final response is released. Tape records are then maintained on magnetic tape for an additional 24 months before being erased.

System manager(s) and address:

Director, Office of Public Inquiries
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the following address:

Chief, Correspondence Systems and Analysis Branch, DCAP, OPI
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

When requesting notification of or access to records, an individual should provide his or her name, the person to whom the inquiry was sent, and the date of the inquiry. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requestors should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Records in this system are derived from inquiries directed to the Commissioner of the Social Security Administration from members of the public; from the individual or someone acting on his/her behalf; the individual's claims record; and contacts within and outside the Social Security Administration.

Systems exempted from certain provisions of the act: None.

09-60-0003

System name: Hearing File and Attorney Fee File, HHS/SSA/OHA.

Security classification: None.

System location: Hearing File: Preparation of new hearing files was discontinued as of May 30, 1975. Files prepared prior to that date are still used, when available, by Office of Hearings and Appeals (OHA) employees at appropriate work stations. Existing files are maintained at:

Social Security Administration
Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Attorney Fee File: Attorney fee information is maintained primarily in the appropriate hearing offices (see Appendix G for address information).

When the Administrative Law Judge recommends approval of a requested fee amount which exceeds 3,000 dollars; or when there is a requested administrative review of fees initially authorized by the Administrative law Judge, the files are maintained by the regional chief Administrative Law Judge in the appropriate regional office (see Appendix G for address information).

Attorney fee files relating to requested administrative review of fees initially authorized by the regional chief Administrative law Judges are maintained at:

Social Security Administration
Office of Hearings and Appeals
200 Glebe Road
Arlington, Virginia 22203

Categories of individuals covered by the system: Claimants - Titles II, IX, XVI, XVIII, and Black Lung.

Categories of records in the system: When present, the hearing file generally contains: request for hearing, notice of hearing, 'Appearance at Hearing' Card signed by claimant, correspondence to claimant, representative, or other source of evidence, cassette recordings of hearing, HA-503 card (case control device), decision (or dismissal order), and any material otherwise in an Appeals File. The hearing file (when present) may also contain the following information which is otherwise maintained as attorney fee file: Attorney Fee Petition; Fee Authorization Order; related correspondence and control card; and when appropriate, request for administrative review and Attorney Fee Analyst recommendation.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): The Hearing File is a working file for individual cases at the hearing level.

Attorney Fee Files are used in processing attorney fee petitions and to respond to correspondence and other inquiries related to representation of claimants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To applicants, claimants, beneficiaries, other than the subject individual, authorized representatives, experts, and other participants at a hearing to the extent necessary to pursue a claim or other matter on appeal.
4. To an attorney to the extent necessary to dispose of an attorney fee petition .
5. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Hearing File folders are stored in filing cabinets (when active). Attorney Fee file control cards are stored in filing containers and paper folders on filing shelves.

Retrievability: Name and social security number.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation training.

Retention and disposal: After all actions are completed, hearing files are forwarded to to the Federal Archives Records Center. Attorney fee file folders are destroyed after 2 years, control card after 5 years.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system manager at the address shown below:

Social Security Administration
Office of Hearings and Appeals
P.O. Box 2518
Washington, D.C. 20013

When requesting notification of records, an individual should provide the name and social security number of the claimant. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requestors should also reasonable specify the records contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requestors should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information in this system is derived from the claimant, his or her representative, appropriate members of the public, the Social Security Administration and other Government, State and local agencies.

Systems exempted from certain provisions of the act: None.

09-60-0004

System name: Appeals File, HHS/SSA/OHA.

Security classification: None.

System location:

Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Categories of individuals covered by the system: Claimants - supplemental security income; retirement, survivors, and disability insurance; health insurance; black lung; and claimants subject to professional standards review.

Categories of records in the system: This file generally contains: Hearing and Appeals analyst's recommendation to the Appeals Council; copies of correspondence and replies during processing of case; requests to Medical Support Staff and their comments, if not entered into the record; copies of Appeals Council actions on the case; notice of denial of request for review, order of remand, notice of granting review, decisions; copies of all post-adjudicative actions or correspondence; copies of transcripts when available.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): The Appeals File is established to be an internal working file used in connection with a recommendation to, or action by, the Appeals Council in an individual case. The Office of Hearings and Appeals creates the file when there is no hearing file. Members of the Appeals Council and their support staff use the Appeals File when working on cases on appeal and when handling post-adjudicative actions and correspondence.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper folder file on filing shelves.

Retrievability: Social security number.

Safeguards: Access to and use of these records limited to those persons whose official duties require such access. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation.

Retention and disposal: Destroyed 6 calendar months after appeals council final action where no court action is initiated. Destroyed 4 calendar months after final court action in active court cases.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the following address:

Social Security Administration
Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

When requesting notification, an individual should provide his or her name and social security number for identification. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Claimant, representative, appropriate members of the public, Social Security Administration and other government, State and local agencies.

Systems exempted from certain provisions of the act: None.

09-60-0005

System name: Hearing Office File, HHS/SSA/OHA.

Security classification: None.

System location: All hearing offices (See Appendix G for address information).

Categories of individuals covered by the system: Claimants - supplemental security income; retirement, survivors, and disability insurance; health insurance; black lung; and claimants subject to professional standards review.

Categories of records in the system: File established in the hearing office of hearing actions taken on each particular case. The file may contain copies of the notice of Hearing, Decision or Dismissal, and the Exhibit List when one is prepared, copy of congressional inquiries and responses thereto as well as copies of postadjudicative material received and any responses made, but not official copies, which are placed in claims folders.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): A reference as to the actions taken in a particular case at the hearing level. The Administrative Law Judge or hearing office staff uses the information to reply to future correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the Internal Revenue Service, Department of the Treasury,as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folder.

Retrievability: Alphabetically by claimants' names.

Safeguards: Limited access to Social Security Administration offices; limited employee access to need to know. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation training.

Retention and disposal: File is destroyed 2 years after final action was taken.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals
Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing the hearing office (see Appendix G for address information).

When requesting notification, an individual should provide his or her name, address, and social security number. The social security number would be helpful although it is not mandatory. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations, 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Claimant, representative, appropriate members of the public, Social Security Administration and other government, State and local agencies.

Systems exempted from certain provisions of the act: None.

09-60-0006

System name: Storage of Hearing Records: Tape Cassettes and Audiograph Discs, HHS/SSA/OHA.

Security classification: None.

System location:

Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Categories of individuals covered by the system: Claimants - supplemental security income; retirement, survivors, and disability insurance; health insurance; black lung; and claimants subject to professional standards review.

Categories of records in the system: Recording of actual hearing before an administrative law judge.

Authority for maintenance of the system: Sections 205, 1631, and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): The tape cassettes and audiograph discs system is the basic record of the hearing conducted in an individual case by the Administrative Law Judge. It is the source from which the documentary transcript is prepared. Social Security employees use the information as a reference to respond to subsequent correspondence and/or further appeal of the claim and to process an attorney fee petition when appropriate.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the Internal Revenue Service, Department of the Treasury,as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Cassette tape, master tape reels, and disc storage containers.

Retrievability: The records are indexed by name and social security number.

Safeguards: The containers are housed on racks in a secure storage area with access to the records limited to employees with a job related need to know. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation training.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals
Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to or visiting the following address:

Social Security Administration
Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

When requesting notification, an individual should provide his or her name and social security number. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Claimant, representative, witnesses, administrative law judge and staff.

Systems exempted from certain provisions of the act: None.

09-60-0008

System name: Administrative Law Judge's Docket, HHS/SSA/OHA.

Security classification: None.

System location: All hearing offices (See Appendix G for address information).

Categories of individuals covered by the system: Claimants - supplemental security income; retirement, survivors, and disability insurance; health insurance; black lung; and claimants subject to professional standards review.

Categories of records in the system: A list of the cases pending before the administrative law judge.

Authority for maintenance of the system: Sections 205, 1631(d), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): This system enables the Administrative Law Judges to maintain control of his or her caseload.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folder.

Retrievability: Social security number.

Safeguards: Access to and use limited to those persons whose official duties require such access. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation training.

Retention and disposal: As each case is disposed of, it is removed from the list.

System manager(s) and address:

Associate Commissioner

Office of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing the hearing office (see Appendix G for address information).

When requesting notification, an individual should provide his or her name, social security number and address. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: administrative law judge, from information on incoming cases.

Systems exempted from certain provisions of the act: None.

09-60-0009

System name: Hearings and Appeals Case Control System, HHS/SSA/OHA.

Security classification: None.

System location:

Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203
and each of the 10 regional offices (see Appendix G for address information)

Categories of individuals covered by the system: Claimants - supplemental security income; retirement, survivors, and disability insurance; health insurance; black lung; and claimants subject to professional standards review.

Categories of records in the system: Social security number, name, type of claim, last action on case/date, location of case (office), date of receipt, hearing request (date/type/schedule date/request for review date), administrative law judge, cross reference number.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): The Office of Hearings and Appeals uses this system to ascertain case location and status.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape with some punch card input.

Retrievability: Social security number.

Safeguards: Limited access to Social Security Administration offices; limited employee access to information on a need to know basis. SSA data processing security.

Retention and disposal: Until retirement to Federal Archives Records Center, then erased and returned to stock.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by following the instructions below:

For cases at the appeals council write to:

Social Security Administration
Office of Hearings and Appeals
P.O. Box 2518
Washington, D.C. 20013

For cases at the Hearing Office write to the Hearing Office (see Appendix G for address information).

When requesting notification, an individual should provide his or her name and social security number. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Office employees.

Systems exempted from certain provisions of the act: None.

09-60-0012

System name: Listing and Alphabetical Name File (Folder) of Vocational Experts, Medical Advisors, and Medical Consultants, HHS/SSA/OHA.

Security classification: None.

System location:

Vocational Consultant Program Staff
Office of Hearings and Appeals
4040 North Fairfax Drive
Arlington, Virginia 22203
and
Manager, Appeals Council
Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203
and each hearing office (see Appendix G for address information)

Categories of individuals covered by the system: Individuals under contract to provide expert or consultative services to the Office of Hearings and Appeals.

Categories of records in the system: A list of all Vocational Experts and Medical Advisors under contract, who are within the area serviced by the hearing office , and their usage. A list of all Medical Consultants under contract for services in Central Office. In addition, a folder is kept for each expert containing name, social security number, a copy of the contract, qualifications, travel orders, invoices, and correspondence and other written records concerning usage as a expert, including evaluation of services.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): The purposes of this system are as follows: Listing alphabetically by name of vocational expert and medical advisor is used to select the expert or advisor on a rotational basis for use in a hearing case. Listing alphabetically by name of consultant is used to select a consultant as needed in a case before the Appeals Council. Records maintained in contractor files are used for carrying out administrative management responsibilities. These may be used in connection with budgetary planning, assessing services and usage, renewal of contracts, and preparing statistical or summary reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any

component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folder in filing cabinet and computer storage devices--(medical advisor and medical consultant folders in Central Office in locked filing cabinets.

Retrievability: Alphabetically.

Safeguards: Access to and use are limited to those persons whose official duties require such access. All employees are instructed in Social Security Administration confidentiality rules as part of their initial training.

Retention and disposal: Retain for at least 2 years after expiration of contract at which time the record is deleted by erasing all machine readable records and by destroying all paper records.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203
and each hearing office (see appendix G for address information).

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the address specified under system location above, or writing to either the hearing office (see Appendix G for address information) or the address below:

Social Security Administration
Office of Hearings and Appeals
P.O. Box 2518
Washington, D.C. 20013

When requesting notification, an individual should provide his or her name, social security number, date of birth, and type of contract services. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information either comes from the individual, from information supplied by the individual, or is provided by SSA officials.

Systems exempted from certain provisions of the act: None.

09-60-0013

System name: Records of Usage of Medical Advisors and Medical Consultants, HHS/SSA/OHA.

Security classification: None.

System location:

Manager, Appeals Council
Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Categories of individuals covered by the system: Medical Advisors and Medical Consultants.

Categories of records in the system: Records contains information about the usage of medical advisors and medical consultants such as the occasions on which each medical advisor or medical consultant supplied advice or services to the administrative law judges or the Appeals Council, respectively, amount of time involved, fees paid, and types of cases.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): The purpose of this system is to provide information so OHA can measure the usage of medical advisors and medical consultants, and make its determinations on contract renewal. This system is used to prepare statistical or summary reports and counseling physicians about services.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folders, or looseleaf binders in locked cabinets, magnetic tape and some punchcards.

Retrievability: Alphabetically by name of advisor or consultant.

Safeguards: Access to and use of these records are limited to OHA management and administrative employees whose official duties require such access.

Retention and disposal: Maintained as long as medical advisor or medical consultant is under contract and as long thereafter as deemed necessary for condiseration with subsequent contract application.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals
Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by visiting the office specified under system location above, or by writing to the following address:

Social Security Administration
Office of Hearings and Appeals
P.O. Box 2518
Washington, D.C. 20013

When requesting notification, an individual should provide his or her name, social security number, and whether he or she is a medical adviser or medical consultant. Providing the social security number would be useful, but is not necessary. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Section 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Administrative law judges, Appeals Council, and supporting staffs.

Systems exempted from certain provisions of the act: None.

09-60-0014

System name: Curriculum Vitae and Professional Qualifications of Medical Officers and Medical Advisors and Medical Consultants and Resume of Vocational Experts, HHS/SSA/OHA.

Security classification: None.

System location:

Vocational Consultant Program Staff
Office of Hearings and Appeals
4040 North Fairfax Drive
Arlington, Virginia 22203

Manager, Appeals Council
Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203
and each Hearing office (See Appendix G for address information).

Categories of individuals covered by the system: Medical Officers, Medical Consultants, Vocational Experts and Medical advisors.

Categories of records in the system: Curriculum vitae and professional qualifications.

Authority for maintenance of the system: Sections 205, 1631(d)(1), and 1872 of the Social Security Act, as amended, and section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): This system is reproduced as appropriate for use as an exhibit in individual cases. The Administrative Law Judge or Appeals Council member uses the information to demonstrate the physician's professional background and expertise, and the vocational expert's professional background and expertise.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To parties to a hearing.
4. To the claimant (who would be a third party in this instance).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folders in filing cabinets.

Retrievability: Alphabetically by name of physician or vocational expert.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation training.

Retention and disposal: Maintained as long as medical officers are employed by the Office of Hearings and Appeals and medical advisor , medical consultant, or vocational expert is under contract.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by visiting the address specified under system location above, or writing to the appropriate hearing office (see Appendix G for address information) or the address below:

Social Security Administration
Office of Hearings and Appeals
P.O. Box 2518
Washington, D.C. 20013

When requesting notification, an individual should provide his or her name, social security number, and indicate whether he or she is a medical officer, medical advisor, medical consultant, or vocational expert. Providing the social security number would be useful, but is not mandatory. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Section 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information either comes from the individual, from information supplied by the individual or medical directories.

Systems exempted from certain provisions of the act: None.

09-60-0015

System name: List of Physicians Utilized as Readers of Black Lung X-Ray Films, HHS/SSA/OHA.

Security classification: None.

System location:

Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

each Hearing Office (See Appendix G for address information)

Categories of individuals covered by the system: Physicians under contract utilized by OHA for X-ray reading in Black Lung cases.

Categories of records in the system: Copy of contract, professional qualifications and curriculum vitae of the physicians.

Authority for maintenance of the system: Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): This system facilitates the selection of an appropriate physician to read black lung X-ray films in individual cases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folders in filing cabinets.

Retrievability: Alphabetically by name of physician.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation training.

Retention and disposal: Records are retained indefinitely.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals
Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting in writing or in person the appropriate hearing office (see Appendix G for hearing office address) or writing to the following address:

Social Security Administration
Office of Hearings and Appeals
P.O. Box 2518
Washington, D.C. 20013

When requesting notification, an individual should provide his or her name and social security number. Although the social security number is not mandatory, it would be useful in locating possible records in this system. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being

sought. These access procedures are in accordance with HHS Regulations 45 CFR Section 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information obtained from the individual.

Systems exempted from certain provisions of the act: None.

09-60-0017

System name: Personnel Research and Merit Promotion Test Records, HHS/SSA/OMBP.

Security classification: None.

System location:

Office of Human Resources
Office of Management, Budget, and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: SSA employees.

Categories of records in the system: These records include tests, test scores, responses to test items and questionnaires, interview data, and special ratings of employees obtained in test validation and other research.

Authority for maintenance of the system: Title 5, U.S. Code Sec. 3301, Sec. 1303.

Purpose(s): Personnel Research-System established for certain research projects such as those that involve longitudinal studies. Confidential and or protected information such as ratings or test materials will not be disclosed. Research data are collected on a project by project basis, and are used for the construction, analysis and validation of tests, for research on personnel measurement and selection methods and techniques such as performance evaluation or productivity. Many data are collected under conditions assuring their confidentiality. Personal information in this system of records is used by the Personnel Research and Planning Branch in its research activities. Merit Promotion Test and Assessment Center Systems-System established to be used as factors weighted under SSA Merit Promotion Programs. These records also may be used as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected or maintained, or for related personnel management functions or manpower studies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To the Civil Service Commission for personnel research purposes and for use of personal identifier such as employee name to identify employees included in research studies that extend over a period of time (longitudinal studies).
2. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
3. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in file folders, on punched cards, microfiche, computer tape, and computer storage.

Retrievability: Assessment Center, test, research, and other evaluation records are kept by one or more of the following: region or headquarters, name, social security number, date of participation, and type of test or assessment center.

Safeguards: Research branch members are briefed periodically on Privacy Act requirements to prevent unauthorized disclosure of or unauthorized access to covered records. Records are kept in locked files or rooms and are accessible only to the branch staff.

Retention and disposal: Test answer sheets are kept at least 1 year from taking. After that they are destroyed by burning. All other covered are kept indefinitely.

System manager(s) and address:

Director, Office of Human Resources
Office of Management, Budget and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: When requesting notification of or access to records in this system, individuals should write to the system manager at the address above and provide their name, the name of this system, identifier where required, and place of SSA employment or former employment. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requestors should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requestors should reasonably identify the records and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Individual SSA employees, supervisors, assessment center assessors or data from SSA personnel files and records.

Systems exempted from certain provisions of the act: Under the provisions of 5 USC 552, Sec. K (6), which provides for exempting testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process,' we exempt from disclosure all Social Security Administration merit promotion tests, test item files, answer keys, completed answer sheets, transmutation tables and schedules, and ratings given for the purpose of validating tests.

09-60-0030

System name: Employee Housing Request Files, HHS/SSA/OMBP.

Security classification: None.

System location:

Office of Human Resources
Office of Management, Budget, and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: SSA employees who have requested housing counseling services.

Categories of records in the system: This system of records contains the employee's name, home address, position, grade, work location, work telephone number, housing assistance requested and assistance given.

Authority for maintenance of the system: Executive Order 11478.

Purpose(s): Information in this system of records is used by housing counselors to assist employee in finding suitable housing.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. (Statistical data) to U.S. Dept. of Housing and Urban Development.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in file folders.

Retrievability: Indexed by the employee's name.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access.

Retention and disposal: These records are maintained for 1 year and then destroyed.

System manager(s) and address:

Director, Office of Human Resources
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above. When requesting notification, an individual should provide his or her name, clerk number or other identifier, and place of SSA employment or former employment. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information provided by the employee.

Systems exempted from certain provisions of the act: None.

09-60-0031

System name: Employee Production and Accuracy Records, HHS/SSA/OMBP.

Security classification: None.

System location:

Operating offices of SSA at the organizational level of the individual's employment.

Categories of individuals covered by the system: Current employees of SSA.

Categories of records in the system: Work measurement records with the following items: employee name, grade, organization unit and shift, social security number, clerk number, Supervisor's name, production data (monthly, weekly, daily), accuracy data, backlog information, error ratio, processing time data, operating and production control codes, leave usage.

Authority for maintenance of the system: 5 U.S.C. 301. Information in this system of records is used by SSA management for manpower planning and production control (to identify backlogs, and systems and procedure problems, manpower utilization, budget estimations, appraisal of employees).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the appropriate Federal, State, or local agency charged with the responsibility of investigating or prosecuting a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, or particular program statute, or by regulation, rule, or order issued pursuant thereto, if this system of records indicates that a violation may have occurred.
4. To the Department of Justice to obtain its advice if the HHS, Social Security Administration deems it desirable or necessary in determining whether particular records from this system are required to be disclosed under the Freedom of Information Act.
5. To Federal agencies who have the power to subpoena other Federal agencies' records upon receipt of a subpoena to HHS, Social Security Administration.
6. Where a contract between HHS, Social Security Administration and a labor organization recognized under Executive Order 11491 provides that HHS, Social Security Administration will disclose personal records relevant to the organization's mission.
7. Where the appropriate official of HHS, Social Security Administration, pursuant to the Department's Freedom of Information Regulation, determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure.
8. To a contractor for the purpose of collating, analyzing, aggregating, or otherwise refining records in this system when HHS, Social Security Administration contracts with a private firm.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained on punch cards, magnetic tape, and on paper forms in file cabinets.

Retrievability: Records in this system are indexed alphabetically and in social security number or clerk number sequence.

Safeguards: Information is this system is available to employees and management only on a need to know basis. For computerized records, electronically transmitted between Central Office and field office location (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with HHS standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: Records are kept for 2 years and destroyed.

System manager(s) and address:

Associate Commissioner
Office of Management, Budget, and Personnel
Room 800 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can request notification of or access to records in this system by contacting his or her immediate supervisor and providing information necessary to identify the record being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information he or she is contesting. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Employee completed cards or records completed by supervisor or control personnel, information furnished by timekeeper.

Systems exempted from certain provisions of the act: None.

09-60-0032

System name: Debtors, Credit Counseling and Consumer Protection, HHS/SSA/OMBP.

Security classification: None.

System location:

Office of Human Resources
Office of Management, Budget, and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Employees of SSA headquarters who request services or employees about whom the Administration receives written inquiries because of employees' alleged delinquency in paying taxes and just debts.

Categories of records in the system: Form SSA-3048:

Employee's name
Social Security Number
Telephone extension
Office, branch
Grade
Area of service
Nature of request including personal information as to finances that the employee voluntarily provides
Disposition, including employee's stated intentions
Record of letters or tax forms sent as replies and referrals made to community organizations
Copies of letters from employees to consumer agencies
Letters from creditors or their representatives and copies of our replies
Copies of tax levies against employees.

Authority for maintenance of the system: HHS Federal Personnel Manual, 735-4-10.B1.

Purpose(s): Files in this system are used by staff members of the Employee Relations Branch for work processing, perspective in counseling and possible disciplinary action (DPO PCB) when indicated.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders.

Retrievability: iles in this system are indexed alphabetically by name.

Safeguards: Files are maintained in locked steel file cabinets.

Retention and disposal: Routine cases are destroyed by shredding after period of 1 year except for tax review which are kept indefinitely. Ongoing cases in which there is indepth counseling may be kept up to 3 years from date of last contact.

System manager(s) and address:

Director, Office of Human Resources
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the following address:

Director
Division of Personnel Operations
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

When requesting notification, an individual should provide his or her name. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requestors should also reasonably identify the record and specify the information being contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information obtained from employee, creditors, IRS, State Tax Division of various States. SSA Computer Printout 7887 Part I 'Locator' used to find telephone extension of employees.

Systems exempted from certain provisions of the act: None.

09-60-0033

System name: Requests for Review of Proposed Contracts with Experts and Consultants, HHS/SSA/OMBP.

Security classification: None.

System location:

Office of Human Resources
Office of Management, Budget, and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Individuals for whom personal service contracts are proposed.

Categories of records in the system: Form HEW 393 Purchase, Service, Stock Requisition and related correspondence concerning review by the Office of Human Resources in order to determine whether services should be obtained by the appoint or by the procurement method. Record may contain individual's name, education, work experience and qualifications, social security number, and date of birth.

Authority for maintenance of the system: 5 USC 3109.

Purpose(s): Information is this system is used by GAO auditors with requested information concerning the reasons for recommendations made.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinet.

Retrievability: Retrievable by name.

Safeguards: Lockable file.

Retention and disposal: Records are retained indefinite.

System manager(s) and address:

Director
Office of Human Resources
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the following address:

Director
Division of Personnel Policy, Data, and Research
6401 Security Boulevard
Baltimore, Maryland 21235

These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b. Regulations, 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information furnished by individual and SSA Office and Office Management Component.

Systems exempted from certain provisions of the act: None.

09-60-0037

System name: General Criminal Investigations Files, HHS/SSA/OMBP.

Security classification: None.

System location:

Office of Management, Budget and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Reported violators of Federal and State criminal laws on Social Security Administration property.

Categories of records in the system: Investigative efforts to resolve reported crimes and evidence obtained for judicial prosecution.

Authority for maintenance of the system: Section 535 of Title 28, United States Code.

Purpose(s): Information is this system is used to provide an official record of details of investigative efforts for use in administrative and or criminal proceedings.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the appropriate Federal, State, or local agency charged with the responsibility of investigating or prosecuting a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, or particular program statute, or by regulation, rule, or order issued pursuant thereto, if this system of records indicates that a violation may have occurred.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Heavy-weight Kraft file folders in fireproof, locked, steel cabinets.

Retrievability: Files in this system are indexed alphabetically on separate index card homes of subjects of investigation.

Safeguards: Access limited in storage area to Protective Security Section only.

Retention and disposal: Files in this system are destroyed by shredding 3 years after final action.

System manager(s) and address:

Chief
Protective Security Branch
Office of Management, Budget and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by sending a request in writing to the System Manager. The request should contain his or her full name, date of birth, as well as work location in the Social Security Administration.

These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Per 5 U.S.C. 552a(k)(2), the records in this system are exempt from access by the individual named in the records. However, access to information which is a matter of public record or documents furnished by the individual will be permitted. Requestors should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requestors should reasonably identify the records and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information in files comes from interviews of persons believed knowledgeable about crimes under investigation who furnish relevant facts which can serve to identify possible violators and secure the conviction of the guilty.

Systems exempted from certain provisions of the act: Exemption of this system to the access provisions is claimed under section (k)(2) of the Privacy Act inasmuch as these records are investigatory materials compiled for law enforcement in anticipation of criminal proceeding. (See page 47413 of Federal Register of 8/8/75, Vol. 40, No. 196, Part V).

09-60-0038

System name: Employee Identification Card Files (Building Passes), HHS/SSA/OMBP.

Security classification: None.

System location:

Office of Management, Budget and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All social security employees. Non-social security employees who require continuous access to buildings; (e.g. employees of vendors and contractors).

Categories of records in the system: Name, social security number, office location, office telephone number, color code for type of pass and agency or firm name.

Authority for maintenance of the system: Federal Property Management Regulations, 41 CFR 101-20. 302 - Admission to Property.

Purpose(s): Employee identification cards are used and in some instances required for admission to social security buildings. The file of application forms verify issue of an identification card to an employee and verify prior issuance in th event of loss or theft of the card.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Information is maintained on Social Security Administration Forms 364, 365, 1860 and 3304.

Retrievability: Records derived from forms 364, 365 and 1860 are indexed by social security number. Forms 3304 are indexed by name.

Safeguards: Forms 364 and 365 are stored in locked files. Forms 1860 are destroyed after form 364 or 365 is issued. Forms 3304 are maintained in locked files.

Retention and disposal: Forms 364 and 365 are kept during the length of service of the individual and then destroyed; picture pass is forwarded to the SSA Commuter Information Center, Social Security Building, 6401 Security Boulevard, Baltimore, Maryland 21235, for destruction.

System manager(s) and address:

Director
Division of Management Services
Office of Management, Budget, and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the following address:

Chief
Employee Services Section
Office of Management, Budget and Personnel
6401 Security Boulevard
Baltimore, Maryland 21235

For replacement card, individual is required to fill out Social Security Form 1860, Request for Photopass.

These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information in these files is received from the Division of Personnel and Training Operations as well as individual employees, contractors, or vendors.

Systems exempted from certain provisions of the act: None.

09-60-0040

System name: Quality Review System, HHS/SSA/OA.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Randomly selected applicants for and/or beneficiaries of:

a. Supplemental Security Income (SSI) payments under title XVI of the Social Security Act. Records of some SSI beneficiaries may have been transferred from State welfare rolls for Aid to the Aged, Blind, and Disabled.

b. Retirement, survivors, and disability insurance benefits under title II of the Social Security Act.

Categories of records in the system:

a. Supplemental Security Income Quality Review: Quality Review Data Base, selected casefile, contingency sample master file, quality assurance universe file, designated case file, designated case transmission file, designated case extract file, and sample control list. These records may contain: social security number, State and county of residence, type of claim, information regarding federally administered supplementation payments, social security claims numbers, living arrangements and family composition, income and medical information, sex, race, resources, third party contacts, and indications of processing errors.

b. Retirement and Survivors Insurance and Disability Insurance Quality Review: These records contain information regarding Federal payments and other information listed in (a) above.

Authority for maintenance of the system: Sections 205(a), 1631(d), and 1631(e) of the Social Security Act.

Purpose(s): The Quality Review Data Base is used for accumulating and tabulating data to determine the accuracy of the entitlement status of applicants/beneficiaries and of benefit amounts paid under the retirement and survivors insurance program and the disability insurance program, and the eligibility status of applicants/beneficiaries and of benefit amounts paid under the supplemental security income program. Title XVI data also are used to calculate Federal fiscal liability case and gross dollar error rates for State supplementation funds administered by SSA. Other categories of records provide data necessary to complete the data base and to provide information to SSA's Field Assessment Office Divisions of Payment and Eligibility Quality and Field and Satellite Office so that they may review cases to obtain information on the general level of accuracy of the entire beneficiary rolls in the programs noted previously.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: With respect to SSI data, disclosure may be made as indicated below:

1. To the appropriate Federal agency charged with the responsibility for investigating or prosecuting a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, if this system of records indicates that a violation may have occurred.
2. To the Department of Justice to obtain its advice if HHS, Social Security Administration deems it desirable or necessary in determining whether particular records from this system are required to be disclosed under the Freedom of Information Act.
3. To a contractor for the purpose of collating, evaluating, analyzing, aggregating or otherwise refining records in this system when HHS, Social Security Administration contracts with a private firm. (The contractor shall be required to maintain Privacy Act safeguards with respect to such records.)
4. In the course of employee discipline or competence determination proceedings.
5. To members of the community and local, State, and Federal agencies in order to locate the individual (when his or her whereabouts are unknown), to establish the validity of evidence or to verify the accuracy of information presented by the applicant/beneficiary, representative payee, legal guardian or other representative of the applicant/beneficiary.
6. To State Welfare Departments pursuant to agreements with the Social Security Administration for the Federal administration of State supplementation payments.
7. To State agencies for administration of the Medicaid Quality Control system
8. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
9. Where Federal agencies having the power to subpoena other Federal agencies' records, issue a subpoena to HHS or the Social Security Administration SSA will make such records available.
10. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

With respect to title II data, routine disclosure is made only as indicated in items 1, 2, 3, 4, 5, 8, and 9.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disks.

Retrievability: By any set of record characteristics; e.g., social security number, or name.

Safeguards: Tapes are stored in tape vault in the Division of Data Processing Operations, Office of Systems Operations, or in protected storage racks, disks in protected storage racks. The entire area is secured by guarded entrances, with admission limited to authorized personnel.

Retention and disposal: The Quality Review data base is retained indefinitely. Other records are erased after 30-500 days.

System manager(s) and address:

Director
Office of Payment and Eligibility Quality
Office of Assessment
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the following address:

Director
Division of Quality Review Policy and Sample Control
Office of Payment and Eligibility Quality
Office of Assessment
6401 Security Boulevard
Baltimore, Maryland 21235

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse affect on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and inform the subject individual in writing that the records have been sent.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the

information to be contested. These procedures are in accordance with NHS 45 CFR Part 5b.

Record source categories: Information in the Social Security Administration Quality Review system is furnished by applicants for and beneficiaries of the retirement and survivors insurance program, the disability insurance program, and the supplemental security income program, representative payees of such individuals (where appropriate), Social Security Administration offices, other Federal and State agencies, and private sources.

Systems exempted from certain provisions of the act: None.

09-60-0042

System name: Quality Review Casefile, HHS/SSA/OA.

Security classification: None.

System location:

Office of Payment and Eligibility Quality
Office of Assessment

6401 Security Boulevard
Baltimore, Maryland 21235

Field (10) and Satellite (27) Offices
(See Appendices L.1 and L.2 for address information)

Categories of individuals covered by the system: Randomly selected applicants for and/or beneficiaries of:

a. Supplemental Security Income (SSI) payments under title XVI of the Social Security Act. Records of some SSI beneficiaries may have been transferred from State welfare rolls for Aid to the Aged, Blind, and Disabled.
b. Retirement, survivors, and disability insurance benefits under title II of the Social Security Act.

Categories of records in the system: The Quality Review Casefile contains information from SSA records and information obtained by Quality Review Specialists from retirement and survivors insurance, disability insurance and SSI applicants and or beneficiaries and from third party sources. These casefiles may contain information relating to any combination of these three programs.

Authority for maintenance of the system: Sections 205(a), 1631(d)(1) and 1631(e)(1)(B) of the Social Security Act.

Purpose(s): Both title II and title XVI Quality Review Casefiles are used for accumulating data concerning the eligibility or entitlement of applicants/beneficiaries and of benefit amounts paid under the retirement, survivors, and disability insurance programs, and the supplemental security income program. Casefiles also provide data necessary to complete the Quality Review Data Base and to provide information to the Social Security Administration's Field Assessment Office Divisions of Payment and Eligibility Quality Field and Satellite Offices needed to review cases in order to obtain information on the general level of accuracy of the entire beneficiary rolls in the programs noted previously.

Data obtained from title XVI Quality Review Casefiles also are used to calculate the Federal fiscal liability case and gross dollar error rates for State supplementation funds administered by SSA.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: With respect to SSI data, disclosure may be made as indicated below:

1. To the appropriate Federal agency charged with the responsibility for investigating or prosecuting a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, if this system of records indicates that a violation may have occurred.
2. To the Department of Justice to obtain its advice if HHS, Social Security Administration deems it desirable or necessary in determining whether particular records from this system are required to be disclosed under the Freedom of Information Act.
3. To a contractor for the purpose of collating, evaluating, analyzing, aggregating or otherwise refining records in this system when HHS, Social Security Administration contracts with a private firm. (The contractor shall be required to maintain Privacy Act safeguards with respect to such records.)
4. In the course of employee discipline or competence determination proceedings.
5. To members of the community and local, State, and Federal agencies in order to locate the individual (when his or her whereabouts are unknown), to establish the validity of evidence or to verify the accuracy of information presented by the applicant/beneficiary, representative payee, legal guardian or other representative of the applicant/beneficiary.
6. To State Welfare Departments pursuant to agreements with the Social Security Administration for the Federal administration of State supplementation payments.
7. State agencies for administration of the Medicaid Quality Control system.
8. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
9. Where Federal agencies having the power to subpoena other Federal agencies' records, issue a subpoena to HHS or the Social Security Administration, SSA will make such records available.
10. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

With respect to title II data, routine disclosure is made only as indicated in items 1, 2, 3, 4, 5, 8, and 9.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manila folder.

Retrievability: The Quality Review Casefiles are retrieved only by social security number. Retrieval will be speedier if the individual's State of residence, program under which benefits were received and/or applied for, and sample selection month are supplied.

Safeguards: With respect to title XVI, Quality Review Casefiles are stored in the Field Assessment Satellite Offices that have jurisdictional responsibility for review of the selected sample cases. With respect to title II, Quality Review Casefiles are stored in the Field Assessment Office Divisions of Payment and Eligibility Quality, Field Offices and, where appropriate, in the Satellite Field Assessment Offices that have jurisdictional responsibility for review of the selected sample cases. All Quality Review Casefiles are stored either in locked cabinets and or locked rooms in space serviced by GSA guards. Access is limited to SSA employees with responsibility for reviewing and maintaining such casefiles and, in the case of SSI Quality Review Casefiles, to State Medicaid Quality Control employees pursuant to item above.

Retention and disposal:

a. Titles XVI Quality Review Casefile are retained for 18 months after the close of the 6-month period for which the cases were selected for quality review or until 36 months after fiscal settlement (Federal fiscal liability situation) for the sample period for which the individual case was selected is reached between SSA and the individual States, whichever is later.
b. Title II Quality Review Casefiles are retained for 18 months after the close of the 6 month sample period for which the cases were selected for review.

System manager(s) and address:

Director
Office of Payment and Eligibility Quality
Office of Assessment
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the Field Assessment Officer at the respective Field Assessment Office (see Appendix L.1 for address information).

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse affect on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and

inform the subject individual in writing that the records have been sent.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information being contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information in the Quality Review Casefile is furnished by applicant/ beneficiaries under the retirement and survivors insurance program, the disability insurance program, and the supplemental security income program, representatives of such individuals (where appropriate), Social Security Administration offices, and other Federal, State, and local agencies, and from private sources.

Systems exempted from certain provisions of the act: None.

09-60-0044

System name: Disability Determination Service Processing File, HHS/SSA/ODP.

Security classification: None.

System location: Each Disability Determination Services (DDS's) office. The name and address for each State DDS is shown in Appendix B.3.

Categories of individuals covered by the system: Claimants for Disability Insurance and Black Lung benefits, and Supplemental Security Income alleging a disability for whom the Disability Determination Service processes claims.

Categories of records in the system: Name and social security number of wage earner, claimant's name and address, date of birth, diagnosis, beginning and ending dates of disability, basis for determination, work history information, educational level, reexamination date (if applicable), date of application, names and titles of persons making or reviewing the determination and certain administrative data. Also included could be data relative to the location of the file and the status of the claim, copies of medical reports, and data relating to the evaluation and measurement of the effectiveness of claims policies.

Authority for maintenance of the system: 5 U.S.C. 301, 30 U.S.C. 923(b), and Sections 221, 1633, and 1634 of the Social Security Act.

Purpose(s): The records are used primarily for the processing of disability and black lung claims for detection and correction of deficiencies and problems involved in this processing, and for case control purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be as indicated below:

1. To State Vocational Rehabilitation agency or State crippled children's service agency (or another agency providing services to disabled children) for the consideration of rehabilitation services per sections 222 and 1615 of the Social Security Act.
2. To State audit agencies utilizing this information for verifying proper expenditure of Federal funds by the State in support of the Disability Determination Service (DDS).
3. To the Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits, or verifying other information with respect thereto.
4. To congressional offices from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
5. In response to legal process of interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.
6. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in sectionalized files, magnetic tape or disk packs. The method of storage may vary from State to State.

Retrievability: Filed by social security number or alphabetically by the claimant or beneficiary's name depending on Disability Determination Service preference.

Safeguards: Accessible only to Disability Determination Service personnel and subject to the restrictions on disclosures under 5 U.S.C. 552(b)(6), 21 U.S.C. 1175, 42 U.S.C. 1306.

Retention and disposal: May vary from State to State according to the preference, but generally each State destroys its files over a period varying from 5 months to 36 months unless held in an inactive storage under security measures for a longer period.

System manager(s) and address:

Director
Office of Disability Programs
6401 Security Boulevard
Baltimore, Maryland 21235

Assistant Regional Commissioner, Programs (see Appendix B.2 for address information.

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the Disability Determination Service Administrator, Disability Determination Services, C/O State in which he or she resides and/or information is likely to be maintained. (See Appendix B.3 for address information.)

An individual who requests notification of, or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likelly to have an adverse affect on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated respesentative and inform the subject individual in writing that the records have been sent.

A parent or guardian who request notification of, or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's discretion. These procedures are in accordance with HHS Regulations 45 CFR Section 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonable specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Section 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information they are contesting. These procedures are in accordance with HHS Regulations 45 CFR Section 5b.

Record source categories: The information to support factors of entitlement and/or continuing eligibility originates from claimants or those acting on their behalf, physicians, hospitals, and other appropriate sources. Also, information is received from control data that monitors the location and status of the claim.

Systems exempted from certain provisions of the act: None.

09-60-0045

System name: Black Lung Payment System HHS SSA OURV.

Security classification: None.

System location: Office of Systems,
6401 Security Boulevard,
Baltimore, Maryland 21235.

Categories of individuals covered by the system: All black lung beneficiaries currently entitled to receive a black lung benefit and beneficiaries terminated because of a termination event as defined in the Federal Coal Mine Health and Safety Act.

Categories of records in the system: The Black Lung Master Records consist of a payment master record and a benefit master record which are matched once a month. The payment master record reflects the social security number and the payment identification code under which black lung benefits are awarded and payment data such as the monthly payment amount; the scheduled payment amount; offset information; the number of beneficiaries on the account as well as the number of beneficiaries in the payment; the month of accrual; the month of debit; credit information; future month of adjustment diary dates; cross-reference information; payee name and address information, direct deposit data, and statistical information. The benefit master record contains a benefit record for each beneficiary on the account which includes the social security number, the payment and benefit identification codes, the payment status, the monthly benefit amount, the beneficiary's name, type of benefit, data of birth, race, sex, offset information, credit information, date of filing, date of entitlement, representative payee information, and statistical information.

Only the latest action taken is reflected on these records. The records may be in the following form: Payment Master Record Computer File: Benefit Master Record Computer File; Treasury Payment Tape File; Microfiche File; Payment Reference Listing; Benefit Reference Listing.

Authority for maintenance of the system: Sections 413 and 415 of Part iV of the Federal Coal Mine Health and Safety Act (Black Lung).

Purpose(s): The data on the Black Lung Master Records is used by Social Security employees for responding to inquiries; computer exception processing; conversion of benefits; end of the month reconciliations; statistical studies to generate payment tapes for Treasury; and for exchange with the Department of Labor for administering provisions of the Title IV of the Black Lung Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (DHHS), any component of DHHS or any emploee of DHHS in his or her official capacity, (b) the United States where DHHS determines that the claim, if successful, is likely to directly affect the operations of DHHS or any of its components, or (c) any DHHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, DHHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the Office of the President for the purpose of responding to an individual pursuant to an inquiry received from that individual or from a third party on his or her behalf.
4. Upon request, information on the identiy and location of aliens may be disclosed to the Department of Justice (Criminal Division, Office of Special Investigations) for the purpose of detecting, investigating, and where appropriate, taking legal action against suspected nazi war criminals in the United States.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, paper.

Retrievability: By social security number.

Safeguards: Magnetic tape is protected through standard security measures used for all Social Security Administration computer records. Paper records are subject to the same safeguards as all other information in the Social Security Administration relating to claims and beneficiary records.

Retention and disposal: Magnetic tape records are retained up to 90 days. Paper records are usually destroyed after use, except where needed for documentation of the claims folder.

System manager(s) and address: Director, Office of User Requirement and Validation, Baltimore, Maryland 21241.

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above and furnishing his or her name, social security number, approximate date and place claim was filed, type of claim (disability, black lung, or supplemental security income), and return address. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the recod contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The information for the Black Lung Master Records is furnished by the beneficiary at the time of filing for benefits via the application form and necessary proofs and during the period of entitlement when notices of events such as changes of address, work, marriage, etc., are given to the Social Security Administration by the beneficiary. This information is prepared for input to this system from the Black Lung claims folders.

Systems exempted from certain provisions of the act: None.

09-60-0046

System name: Consultative Physician's File, HHS/SSA/ODP.

Security classification: None.

System location: Offices of the Disability Determination Services (DDS) of each State that may currently maintain this type of file. The names and addresses of each DDS are in Appendix B.

Categories of individuals covered by the system: Physicians who have expressed a willingness to conduct consultative examinations for the DDS and, in some instances, other physicians with whom the DDS has contact. The latter are usually treating physicians.

Categories of records in the system: Information relative to a physician's speciality, past experience with him as to the promptness with which he submits reports, general thoroughness of his reports, etc., as well as perhaps comments on the physician's own preferences (such as appointment hours, etc.).

Authority for maintenance of the system: 5 U.S.C. 301, 30 U.S.C. 923(b), and Sections 221, 1633, and 1634 of the Social Security Act.

Purpose(s): Disability Determination Services personnel utilize this information when considering the need for additional medical evidence in claims under titles II and XVI of the Social Security Act or title IV of the Federal Coal Mine Health and Safety Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the epartment of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity, (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components, or (c) any HHS employee in his or her individual capacity where the Justice epartment has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Each DDS Maintains its own records and the method of storage may vary from State to State. Generally, the information is on a file card maintained in a standard card file cabinet.

Retrievability: Records are filed alphabetically and are retrieved manually by authorized personnel.

Safeguards: Only authorized Disability Determination Services personnel have access to these records. Personal information other than the name of the physician is subject to the disclosure restrictions of 5 U.S.C. 552(b)(6), 21 U.S.C. 1175, and 42 U.S.C. 1306.

Retention and disposal: Disability Determination Services policy as to retention and disposal varies from State to State, but generally, the file is purged upon death, retirement, or relocation of the physician.

System manager(s) and address:

Director

Office of Disability Programs
6401 Security Boulevard
Baltimore, Maryland 21235

Assistant Regional Commissioner, Programs (see Appendix B.2 for address information.

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing the Disability Determination Services Administrator, Disability Determination Services, C/O State in which he or she resides and/or information is likely to be maintained (see Appendix B.3 for address information). These procedures are accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Most information is obtained directly from the physician. Observations of Disability Determination Services personnel about the physician, such as a doctor's general promptness in filing reports, may occasionally be found in a physician's file.

Systems exempted from certain provisions of the act: None.

09-60-0047

System name: Critical Case Processing Time, HHS/SSA/OOPP.

Security classification: None.

System location:

Office of Data Services
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Social security disability beneficiaries or claimants whose application for disability benefits is pending.

Categories of records in the system: Social security numbers of claimants and dates requests were received and processed.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Purpose(s): Records in this system are used monthly to prepare processing time reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Internal Revenue Service, Treasury Department, as necessary for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are maintained until the decision is made at which time the record is erased.

System manager(s) and address:

SSA Privacy Officer
Baltimore, Maryland 21241

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above and furnishing his or her name, social security number, approximate date and place claim was file, type of claim (disability, black lung, or supplemental security income), and return address. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Records are prepared from control sheets showing date of requests, date request was processed and type of request.

Systems exempted from certain provisions of the act: None.

09-60-0049

System name: Disability Data Record, HHS/SSA/OOPP.

Security classification: None.

System location:

Office of Data Services
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Social security disability beneficiaries or claimants whose application for a disability benefit has been allowed or denied.

Categories of records in the system: Social security numbers of the claimant and other demographic and statistical information relating to the disability decision.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Purpose(s): Information in this system is used to prepare various special studies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. to the Energy Resources Development Administration for their study of the long term effects of low-level radiation exposure.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.' Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

SSA Privacy Officer
Baltimore, Maryland 21241

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above and furnishing his or her name, social security number, approximate date and place claim was file, type of claim (disability, black lung, or supplemental security income), and return address.

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse affect on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and inform the subject individual in writing that the records have been sent.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The record contains data taken from the claim file which was obtained from the individual or someone acting on the individual's behalf.

Systems exempted from certain provisions of the act: None.

09-60-0050

System name: Completed Determination Record - Continuing Disability Determinations, HHS/SSA/OOPP.

Security classification: None.

System location:

Office of Data Services
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Allowed disability claimants on which a continuing disability issue has occurred and a decision of continuance or cessation has been approved.

Categories of records in the system: Name and social security number of the individual and other data such as date of birth, District and State Agency Code, date disability began, type of claim, reasons for reopening, continuance or cessation code, date of termination (if applicable), date of completion, etc.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Purpose(s): This system is used to record the result of continuing disability investigations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with the safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards, and photographs, etc.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

SSA Privacy Officer
3-F-1 Operations Building
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above and furnishing his or her name, social security number, approximate date and place claim was file, type of claim (disability, black lung, or supplemental security income), and return address.

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse affect on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and inform the subject individual in writing that the records have been sent.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: These records summarize information contained in the claims folder which was obtained from the individual or someone acting on the individual's behalf and from this individual's physician, or a physician performing a consultative examination or from hospitals and other treatment sources.

Systems exempted from certain provisions of the act: None.

09-60-0051

System name: Administrative Disallowance Records for Technical Denials, HHS/SSA/OOPP.

Security classification: None.

System location:

Office of Data Services
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Any disability applicant whose claim has been disallowed for technical reasons, generally for failure to meet the insured status provisions at any time.

Categories of records in the system: The name and social security number of the claimant together with other pertinent data such as district office code, disallowance code, date claim filed, disallowance notice number and date processed.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Purpose(s): The record serves as a statistical and workload accounting source for disability decisions on applicants who never met, or do not meet, the insured status provisions in relation to the date disability began.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are retained indefinitely.

System manager(s) and address:

SSA Privacy Officer
3-F-1 Operations Building
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above and furnishing his or her name, social security number, approximate date and place claim was file,

type of claim (disability, black lung, or supplemental security income), and return address. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The information for this record is taken from Form SSA-201B, Determination of Disallowance - Disability Claim which is completed by a Social Security Administration employee to document the reason for the determination.

Systems exempted from certain provisions of the act: None.

09-60-0052

System name: Disposition of Vocational Rehabilitation Report to Social Security Administration, HHS/SSA/ODP.

Security classification: None.

System location:

Office of Data Services
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Disability beneficiaries accepted for vocational rehabilitation services under the reimbursement provisions and now reported as closed (no longer receiving service).

Categories of records in the system: The name and social security number of the disabled beneficiary together with other statistical information such as type of claim, closure status, date of closure, State vocational rehabilitation code, date of form etc.

Authority for maintenance of the system: Sections 222 and 1615 of the Social Security Act.

Purpose(s): The record serves as a statistical and accounting source for beneficiaries involved in the vocational rehabilitation reimbursement program. The receipt of Notice of Closure, Form SSA-853 clears the control.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

Director
Office of Disability Programs
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above and furnishing his or her name, social security number, approximate date and place claim was file, type of claim (disability, or supplemental security income), and return address.

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse affect on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and inform the subject individual in writing that the records have been sent.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The data is extracted from Forms SSA-853 - Vocational Rehabilitation Report to Social Security Administration which is completed by State offices of vocational rehabilitation.

Systems exempted from certain provisions of the act: None.

09-60-0053

System name: Reimbursement from Trust Fund for Vocational Rehabilitation Services, HHS/SSA/ODP

Security classification: None.

System location:

Office of Data Services
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Disabled beneficiaries referred and undergoing consideration for vocational rehabilitation services; costs of such services to be reimbursed from social security trust or general funds providing a beneficiary status exists.

Categories of records in the system: The name and social security number of the beneficiary as well as vocational rehabilitation state and district office code, type of claim, amount of benefit (at time of referral), date of request for status.

Authority for maintenance of the system: Sections 222 and 1615 of the Social Security Act.

Purpose(s): This record serves as a control and monitor of vocational rehabilitation referral activity in the disability program in order to validate the use of trust funds and general funds expended for services rendered.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Records are destroyed upon notification of closure from the State agency or upon expiration of five years from date record was created, whichever occurs first.

System manager(s) and address:

Director
Office of Disability Programs
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above and furnishing his or her name, social security number, approximate date and place claim was file, type of claim (disability, black lung, or supplemental security income), and return address. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The basic record is prepared as the result of a written or teletyped request for benefit status from the State agency. Additional information is secured from the master beneficiary record and the supplementary security record files.

Systems exempted from certain provisions of the act: None.

09-60-0056

System name: Vocational Rehabilitation Savings Calculation, HHS/SSA/ODP.

Security classification: None.

System location:

Office of Data Services
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Disability beneficiaries reported by State vocational rehabilitation agency as no longer receiving vocational rehabilitation service.

Categories of records in the system: The name and social security number of the beneficiary and identifying information about the notice of disclosure, the date of termination or reduction in benefits, if any, amount of benefit, amount of savings and other miscellaneous data.

Authority for maintenance of the system: Sections 222 and 1615 of the Social Security Act.

Purpose(s): This record serves primarily as a source for furnishing statistical and benefit information on the vocational rehabilitation reimbursement program.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tapes.

Retrievability: Access is by use of the social security number.

Safeguards: Only authorized personnel having a need for this information in the performance of their official duties have access to this data under stringent security measures involving guards, identity cards and photographs, etc.

Retention and disposal: Tapes are maintained indefinitely.

System manager(s) and address:

Director
Office of Disability Programs
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address shown above and furnishing his or her name, social security number, approximate date and place claim was file, type of claim (disability or supplemental security income), and return address.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The information is extracted and compiled from the vocational rehabilitation closure report, the Master Beneficiary Record 09-60-0090, the Supplemental Security Income Record 09-60-0103, and the Earnings Recording and Self-Employment Income System 09-60-0059.

Systems exempted from certain provisions of the act: None.

09-60-0057

System name: Quality Evaluation Data Records, HHS/SSA/OA.

Security classification: None.

System location:

Office of Assessment
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Individuals who have filed application for Social Security Disability Benefits and/or Supplementary Security Income Benefits.

Categories of records in the system: Social security numbers of claimants, demographic, diagnostic, and other types of data generated as a result of a review of the State actions on the claim.

Authority for maintenance of the system: Section 221 of the Social Security Act.

Purpose(s): This system was established for the purpose of assisting in the assessment of quality of disability determinations made by State Disability Determination Services. Records are used to report monthly results of the review of the State disability determination process.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The system consists of tape, paper, and disk records.

Retrievability: The records are maintained in social security number sequence.

Safeguards: Records are subject to the same rules and safeguards as all other information in SSA relating to claims and beneficiary records. (See Appendix J).

Retention and disposal: The records are maintained for a period of 48 months.

System manager(s) and address:

Director
Office of Adjudication Process Quality
Dickinson Tower Building
1500 Woodlawn Drive
Baltimore, Maryland 21241

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system system manager at the address shown above and furnishing his or her social security number, name, approximate date and place claim was filed, type of claim (disability or supplemental security income), and address.

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse affect on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and inform the subject individual in writing that the records have been sent.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Records are prepared from Form SSA 3094 and show decision, diagnosis and other information.

Systems exempted from certain provisions of the act: None.

09-60-0058

System name: Master files of Social Security Number Holders HHS SSA OEER.

Security classification: None.

System location: Office of Systems, 6401 Security Boulevard, Baltimore, Maryland 21235.

Categories of individuals covered by the system: All individuals who have obtained social security numbers.

Categories of records in the system: This system contains all of the information received on original applications for social security numbers and any changes in the information on the applications that are submitted by the social security number holder. Cross-reference may be noted where multiple numbers have been issued to the same individual; and indication that benefit claim has been made under this social security number.

Authority for maintenance of the system: Section 205(a) of the Social Security Act; Section 205(c)(2) of the Social Security Act.

Purpose(s): This information is used for the following purposes: by Social Security Administration components for various title II, XVI, and XVIII claims purposes including usage of the social security number itself as a case control number and a secondary beneficiary cross-reference control number for enforcement purposes and use of the social security number record data for verification of claimant identity factors and for other claims purposes related to establishing benefit entitlement; by SSA as a basic control for retained earnings information; by SSA as a basic control and data source to prevent issuance of multiple social security numbers; as the means to identify incorrectly reported names or social security numbers on earnings reports; for resolution of earnings discrepancy cases; for statistical studies; by Health and Human Services Audit agency for auditing benefit payments under social security programs, by Office of Child Enforcement (HHS) for locating deserting parents; by National Institute of Occupational Safety and Health for epidemiological research studies required by the Occupational Health and Safety Act of 1974; by Office of Refugee Resettlement (HHS) for administering Cuban refugee assistance payments; by the Health Care Financing Administration for the purpose of administering title XVIII claims.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be disclosed from this system as indicated below:

1. Employers are notified of the social security number of an employee in order to complete their records for reporting FICA to the Social Security Administration pursuant to the Federal Insurance Contributions Act and Section 218 of the Social Security Act.
2. State welfare agencies are notified on written request, of the social security numbers of AFDC applicants or recipients.
3. The Department of Justice (Federal Bureau of Investigation and United States Attorneys) for investigating and prosecuting violations of the Social Security Act.
4. The Department of Justice (Immigration and Naturalizaton Service) for the identification and location of aliens.
5. The Department of Justice (Federal Bureau of Investigation) and the Department of Treasury (United States Secret Service) for national security matters and in connection with threats on the life of the President or other dignitaries.
6. The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment and for administering the Railroad Unemployment Insurance Act.
7. Energy Research and Development Administration for their study of the long-term effects of low-level radiation exposure.
8. The Treasury Department for tax administration as defined in 26 U.S.C. 6103 of the Internal Revenue Code and for investigating alleged theft, forgery, or unlawful negotiation of social security checks.
9. A congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
10. The Department of Interior for administering the Social Security Act in the Trust Territory of the Pacific Islands; the Veterans Administration, Regional Office, Philippines for administering the Social Security Act in the Philippines; the American Institute on Taiwan for administering the Social Security Act on Taiwan; and the Department of State for administering the Social Security Act in foreign countries; through facilities and services of these agencies.
11. The Department of Labor for administering provisions of title IV of the Federal Coal Mine Health and Safety Act and for studies of the effectiveness of training programs to combat poverty.
12. The Veterans Administration for validation of the social security numbers of compensation/pensioners in order to provide the release of accurate pension/compensation data by the Veterans Administration to the Social Security Administration for social security program purposes.
13. The Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits, or verifying other information with respect thereto.
14. Federal agencies who use the Social Security number as a numerical identifier in their recordkeeping systems, for the purpose of validating social security numbers.
15. In the event of litigation where the defendant is (a) the Department of Health and Human Services (DHHS), any component of DHHS or any employee of DHHS in his or her official capacity; (b) the United States where DHHS determines that the claim, if successful, is likely to directly affect the operations of DHHS or any of its components; or (c) any DHHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, DHHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
16. State Audit agencies for auditing State supplementation payments and medicaid eligibility considerations.
17. Information necessary to adjudicate claims filed under an international social security agreement that the United States has entered into pursuant to Section 233 of the Social Security Act may be disclosed to a foreign country which is a party to that agreement.
18. Disclosure may be made to Federal, State, or local agencies (or agents on their behalf) for the purpose of validating social security number used in administering cash or non-cash income maintenance of health maintenance programs.
19. Disclosure may be made to third party contacts in situations where the party to be contacted has, or is expected to have, information which will verify documents pertaining to identity and/or status when the Social Security Administration is unable to determine if such documents are authentic.
20. Upon request, information on the identity and location of aliens may be disclosed to the Department of Justice (Criminal Division, Office of Special Investigations) for the purpose of detecting, investigating, and where appropriate, taking legal action against suspected Nazi war criminals in the United States.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records in this system are maintained as paper forms, paper lists, punchcards, magnetic tape, microfilm, microfiche files, and disk with on-line access.

Retrievability: Records in this system are indexed both by social security number and name.

Safeguards: All magnetic tapes and disks are within an enclosure attended by security guards. Anyone entering or leaving this enclosure must have special badges issued only to authorized personnel. All microfilm, microfiche, and paper files are accessible only by authorized personnel who have a need to know.

For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with DHHS standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Expansion and improvement of SSA's telecommunications systems has resulted in terminals equipped with physical key locks. The terminals also are fitted with adapters to permit the future installation of data encryption devices and devices to permit the identification of terminals users.

Retention and disposal: All paper forms are retained until they are filmed or are entered on tape, and the accuracy verified, then they are destroyed by shredding. All tape, disks, microfilm, microfiche files are updated periodically. The out-of-date magnetic tapes and disks are erased. The out-of-date microfiche is shredded by the application of heat.

System manager(s) and address: Director, Office of Enumeration and Earnings Records, 6401 Security Boulevard, Baltimore, Maryland 21235.

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by providing his or her name and social security number, or if the social security number is not known, date of birth, place of birth, mother's maiden name, and father's name, and evidence of identity to the address shown under system manager above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with DHHS Regulations 45 CFR, Section 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with DHHS Regulations 45 CFR, Section 5b.

Record source categories: Social security number applicants; or individual acting on their behalf. The social security number itself is assigned to the individual as a result of internal processes of this system.

Systems exempted from certain provisions of the act: None.

09–60–0059

System name: Earnings Recording and Self-Employment Income System HHS/SSA/OEER.

Security classification: None.

System location: Office of Systems, 6401 Security Boulevard, Baltimore, Maryland 21235.

Categories of individuals covered by the system: Any person who has been issued a social security number and who may or may not have earnings under social security or self-employment income; or any person requesting, reporting, or changing earnings information and/or inquiring about some aspect of the Social Security Act; or any person having a vested interest in a private pension fund.

Categories of records in the system: This contains records of all social security number holders, their name, date of birth, sex, race, a summary of their yearly earnings; quarters of coverage, special employment codes (i.e., self-employment, military, agriculture, and railroad); benefit status and employer identification (i.e., employer identification numbers and pension plan numbers); minister waiver forms (i.e., forms filed by the clergy for the election or waiver of coverage under the Social Security Act); and correspondence received from individuals pertaining to the above mentioned items; as well as copies of the replies to such correspondence, employer pension plan identification numbers; and pension plan information (i.e., nature and form, and amount of vested benefits).

Authority for maintenance of the system: Sections 205(a) and 205(c)(2) of the Social Security Act, the Federal Records Act of 1950 (64 Stat. 583), and the Employee Retirement Income Security Act of 1974 (Pub. L. 93–406).

Purpose(s): This information is used for the following purposes: As a primary working record file of all social security number holders; as a quarterly record detail file to provide full data in wage investigation cases; to provide information for determining amount of benefits; to record all incorrect or incomplete earnings items; to reinstate incorrectly or incompletely reported earnings items; to record the latest employer of a wage earner; for statistical studies; for identification of possible overpayments of benefits; for identification of individuals entitled to additional benefits; to provide information to employers and former employers for correcting or reconstructing earnings records and for social security tax purposes; to provide worker and self-employed individuals with earnings statements or quarters of coverage statements; to provide information to Health and Human Service Audit Agency for auditing benefit payments under social security programs; to provide information to National Institute for Occupational Safety and Health for epidemiological research studies required by the Occupational Health and Safety Act of 1974; to assist Social Security Administration correspondents in preparing subsequent inquiries; and to store minister waivers, thus preventing an erroneous payment of social security benefits.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be disclosed from this system as indicated below:

1. Employers or former employers, including State social security administrators for correcting and reconstructing State employee earnings records and for social security purposes.

2. The Treasury Department for investigating alleged theft, forgery, or unlawful negotiation of social security checks and for tax administration as defined in 26 U.S.C. 6103 of the Internal Revenue Code.

3. The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment.

4. The Department of Justice (Federal Bureau of Investigation and United States Attorneys) for investigating and prosecuting violations of the Social Security Act.

5. The Department of Justice (Federal Bureau of Investigation) and the (Department of Treasury United States Secret Service) for National security matters and in connection with threats on the life of the President or other dignitaries.

6. Energy Research and Development Administration for their study of low-level radiation exposure.

7. Congressional Office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

8. The Department of Interior for administering the Social Security Act in the Trust Territory of the Pacific Islands; the Veterans Administration, Regional Office, Philippines for administering the Social Security Act in the Philippines; the American Institute on Taiwan for administering the Social Security Act on Taiwan; and the Department of State for administering the Social Security Act in foreign countries; through facilities and services of these agencies.

9. State Audit agencies for auditing State supplementation payments and Medicaid eligibility considerations.

10. In the event of litigation where the defendant is (a) the Department of Health and Human Services (DHHS), any component of DHHS or any employee of DHHS in his or her official capacity, (b) the United States where DHHS determines that the claim, if successful, is likely to directly affect the operations of DHHS or any of its components, or (c) any DHHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, DHHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

11. In response to legal process or interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.

12. Information necessary to adjudicate claims filed under an international social security agreement that the United States has entered into pursuant to Section 233 of the Social Security Act may be disclosed to a foreign country which is a party to that agreement.

13. Information pertaining to wages and self-employment income may be disclosed in response to requests from State welfare agencies under Sections 402(a)(29) and 411 of the Social Security Act for determining an individual's eligibility for aid or services under State plans for Aid to Families with Dependent Children and the amount of such aid or services.

14. Disclosure may be made to Federal, State, or local agencies (or agents on their behalf) for the purpose of validating social security number used in administering cash or non-cash income maintenance or health maintenance programs.

15. The Social Security Administration may disclose tax return information (e.g., information with respect to net earnings from self-employment, wages, and payments of retirement income which have been disclosed to SSA).

(a) Upon request, to officers and employees of the Department of Agriculture and,

(b) Upon written request, to officers and employees of a State food stamp agency, for the purposes of, and to the extent necessary in, determining an individual's eligibility for benefits, or the amount of benefits, under the food stamp program established under the Food Stamp Act of 1977.

16. Upon written request from appropriate officers and employees of a State or local child support enforcement agency, SSA will disclose tax return information (e.g., information with respect to net earnings from self-employment, wages, payments of retirement income, and business and employment addresses) to those officers or employees for purposes of, and to the extent necessary in,

(a) establishing and collecting child support obligations from individuals who owe such obligations, and

(b) Locating those individuals, under a program established under title IV–D of the Social Security Act (42 U.S.C. 651ff).

17. The fact that a veteran is or is not eligible for retirement insurance benefits under the Social Security program may be disclosed to the Office of Personnel Management for its use in determining that veteran's eligibility for a civil service retirement annuity and the amount of such annuity.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records in this system are maintained as paper forms, correspondence in manila folders on open shelving, paper lists, punchcards, microfilm, magnetic, and disk with on-line access tape files.

Retrievability: Records in this system are indexed by social security number, name, and employer identification number.

Safeguards: All magnetic tapes are within an enclosure attended by security guards. Anyone entering or leaving this enclosure must have special badges which are issued only to authorized personnel. All

microfilm and paper files are accessible only by authorized personnel with a need to know. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with DHHS standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Expansion and improvement of SSA's telecommunications systems has resulted in terminals equipped with physical key locks. The terminals also are fitted with adapters to permit the future installation of data encryption devices and devices to permit the identification of terminals users.

Retention and disposal: All paper forms and cards are retained until they are filmed or are entered on tape and their accuracy is verified, then they are destroyed by shredding. All tapes, disks, and microfilm files are updated periodically. The out of date magnetic tapes and disks are erased. The out of date microfilm is shredded.

SSA retains correspondence 1 year when it concerns documents returned to individual, denials of confidential information, release of confidential information to an authorized third party and undeliverable material, for 4 years when it concerns information and evidence pertaining to coverage, wage, and self-employment determinations, or when the statute of limitations is involved, and permanently any material which affects future claims development, especially coverage, wage, and self-employment determinations. Correspondence is destroyed, when appropriate, by shredding.

System manager(s) and address: Director,
Office of Enumeration and Earnings Records,
6401 Security Boulevard,
Baltimore, Maryland 21235.

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by providing his or her name, social security number, signature, or other personal identification and referring to this system to the address shown under system manager above.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with DHHS Regulations 45 CFR, Section 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with DHHS Regulations 45 CFR, Section 5b.

Record source categories: Social security number applicants, employers, self-employed individuals, Department of Justice (Immigration and Naturalization Service), Department of Treasury (Internal Revenue Service), Master Beneficiary Record—09-60-0090 of the Social Security Administration, correspondence, replies to correspondence, and earnings modifications resulting from SSA internal processes.

Systems exempted from certain provisions of the act: None.

09-60-0063

System name: Resource Accounting and Project Management System, HHS/SSA/OS.

Security classification: None.

System location:
Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All Employees of the Social Security Administration who are responsible for ADP-related workloads.

Categories of records in the system: Personnel, including skills and availability utilization, and machine resource expenditures by work effort for ADP-related workloads. Information is captured by use of clerk number to identify employee time and by information contained in computer run card to identify machine time. Time is associated to work effort by a project/service request/ task number structure. Data captured relating to work efforts includes: description of work, planned, authorized and obligated resources by skill category, responsible organizational component and responsible manager, user(s), priority and start and target dates.

Authority for maintenance of the system: Section 702 of the Social Security Act.

Purpose(s): Information in this system is used to project and account for all Office of Systems personnel and machine resource expenditures as they relate to ADP-related workloads. Report packages and on-line capabilities are available for use by all levels of management within the SSA Office of Systems. Data included in the reports may be sorted in various ways to show information including personnel utilization, work effort in progress as well as budget and project status.

Routine uses of records maintained in the system, including categories of users and the purpose of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: magnetic discs.

Retrievability: Personnel records are indexed based on clerk number assigned to Office of Systems personnel. Work efforts are identified by project service request number.

Safeguards: Information distributed to user and project managers. Records are accessible only by use of assigned secure passwords.

Retention and disposal: Active records will remain on-line until complete. Records will be purged on an annual basis with complete records transferred to tape for 2 years. At the end of 2 years, tapes are erased and returned to stock.

System manager(s) and address:
Director
Division of Strategic Planning and Integration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by providing his or her name and clerk number to:

Chief
Resource Accounting Branch
Division of Strategic Planning and Integration
6401 Security Boulevard
Baltimore, Maryland 21235

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information is obtained from the individual or project managers.

Systems exempted from certain provisions of the act: None.

09-60-0065

System name: Direct Input Source Documents, HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch office (see Appendix F.1 for address information.)

Categories of individuals covered by the system: Beneficiaries and applicants for retirement, survivors, or disability social security benefits, supplemental security income payments or health insurance benefits.

Categories of records in the system: Notices of death, annual report of earnings, change in marital status, address or student status, etc.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Purpose(s): This system maintains information which is transmitted by wire to central file to make changes that affect benefits of an individual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Documents are stored in file cabinets.

Retrievability: By name and social security number.

Safeguards: Usually available only to employees on a need to know basis.

Retention and disposal: Documents are retained 1 - 6 months and then destroyed by shredding or application of heat.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the most convenient district or branch manager (see Appendix F.1 for address information).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Beneficiaries, applicants and recipients.

Systems exempted from certain provisions of the act: None.

09-60-0066

System name: Claims Development Record, HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch office (see Appendix F.1 for address information.)

Categories of individuals covered by the system: Beneficiary, applicant, and inquirer for the various social security and black lung benefit programs.

Categories of records in the system: The file contains the name, address, and social security number of the individual. It also contains developmental notes concerning the requesting and receipt of documents required for processing a claim for benefits. Benefit amounts and date of entitlement may also be displayed.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Purpose(s): Information in this system is used as an interviewing tool, record of clearance of claims, and sometimes as a log of activity pertinent to continued entitlement to benefits.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: 8 X 10 1/2 cards filed in standard file cabinets.

Retrievability: By name and social security number.

Safeguards: Usually available to personnel on a need to know basis.

Retention and disposal: Specific destruction dates established depending on whether a claim is allowed or disallowed. Generally maintained for 6 months and then destroyed.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the most convenient district or branch manager (see Appendix F.1 for address information).

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Applicants, beneficiaries, recipients, inquiries and third parties.

Systems exempted from certain provisions of the act: None.

09-60-0069

System name: Record of Claims (Microfiche), HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch offices (see Appendix F.1 for address information); Assistant Regional Commissioner, Programs (see Appendix D.2 for address information); and teleservice Centers (see Appendix F.4 for address information).

Categories of individuals covered by the system: Beneficiaries and denied applicants for social security and health insurance benefits or supplemental security income payments.

Categories of records in the system: Certain individual's name, address, social security number, date of birth, payment history, pertinent information concerning entitlement to health insurance benefits, representative payee data, etc.

Authority for maintenance of the system: Sections 205(a) and 1631 of the Social Security Act.

Purpose(s): This system is used by district, branch, regional and teleservice center offices to answer inquiries from beneficiaries. These offices also use it as a guide in development to determine continuing eligibility to benefits.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microfiche stored in special metal cabinets.

Retrievability: By name and social security number.

Safeguards: Cabinets are locked at night. Usually available to personnel only on a need to know basis.

Retention and disposal: New microfiche received every 3 - 6 months. Old microfiche destroyed by application of heat.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the most convenient district or branch office or teleservice center manager (see Appendices F.1 and F.4, respectively, for address information). These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Applicants.

Systems exempted from certain provisions of the act: None.

09-60-0075

System name: Congressional Bills File, HHS/SSA/OP.

Security classification: None.

System location:

Office of Legislative and Regulatory Policy
6401 Security Blvd.
Baltimore, Maryland 21235

Categories of individuals covered by the system: Members of Congress

Categories of records in the system: Listing of bills to amend the Social Security Act. Includes bill number, sponsor's name, state and party affiliation, date of introduction of bill, and a 3-digit subject code.

Authority for maintenance of the system: 5 U.S. Code 301

Purpose(s): This system is used for the purposes of tracking social security legislation as it progresses in the Congress, and keeping a historical record and accounting of social security legislation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

2. To the public upon request of information contained in the file under provisions of the Freedom of Information Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Computer terminal (magnetic tape), and paper listings.

Retrievability: Bill name, subject matter, and name of sponsor.

Safeguards: Information is accessed on a limited need-to-know basis by staff of the Legislative Reference Office.

Retention and disposal: Retained for duration of each Congress. (Listing by subject matter is retained indefinitely.)

System manager(s) and address:

Legislative Reference Officer
Room 416 Altmeyer Building
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system manager at the address shown above. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Congressional Record.

Systems exempted from certain provisions of the act: None.

09-60-0077

System name: Congressional Inquiry File, HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch offices (see Appendix F.1 for address information); Assistant Regional Commissioner, Programs (see Appendix D.2 for address information); and teleservice centers (see Appendix F.4 for address information).

Categories of individuals covered by the system: Congressional representatives.

Categories of records in the system: Correspondence to and from congressional representatives.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Purpose(s): This system is used to control and respond to correspondence from congressional representatives.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Maintained in manila type folders.

Retrievability: Usually by name in alphabetical order.

Safeguards: Usually available to personnel on a need to know basis.

Retention and disposal: Generally retained for 6 months and may be retained longer.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system a record pertaining to him or her by contacting the most convenient district or branch office (see Appendix F.1 for address information). These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Congressional representative.

Systems exempted from certain provisions of the act: None.

09-60-0078

System name: Public Inquiry Correspondence File, HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch offices (see Appendix F.1 for address information); Assistant Regional Commissioner, Programs (see Appendix D.2 for address information); and teleservice centers (see Appendix F.4 for address information).

Categories of individuals covered by the system: General public.

Categories of records in the system: Inquiries usually for benefit information.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Purpose(s): Information is maintained in this file in event an inquirer requests information or files a formal application for benefits. Consequently the information can be used as a filing date for benefit purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folders in standard file cabinets.

Retrievability: By name.

Safeguards: Usually available only to personnel on a need to know basis.

Retention and disposal: Destroyed after 1 year.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system a record pertaining to him or her by contacting the most convenient district or branch office (see Appendix F.1 for address information). These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information furnished by inquirer.

Systems exempted from certain provisions of the act: None.

09-60-0080

System name: Problem Case File, HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch office (see Appendix F.1 for address information.)

Categories of individuals covered by the system: Beneficiaries and applicants for social security benefits, health insurance, and black lung benefits.

Categories of records in the system: Beneficiary's name, address, social security number, nature of problem, and action being taken.

Authority for maintenance of the system: Sections 205(a) of the Social Security Act, and section 413(b) of the Federal Coal Mine Health and Safety Act (Black Lung).

Purpose(s): This system is used to maintain information on difficult or continuing problem cases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Internal Revenue Service, Department of the Treasury as, necessary, for the purpose of auditing the Social Security Administration's compliance with the safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Material is placed in manila type folders and stored in file drawers.

Retrievability: By name in alphabetical order.

Safeguards: File drawers are locked at night time.

Retention and disposal: File is broken down upon completion of the development. Pertinent documentation is sent to the reviewing office for permanent filing as a part of the claims folder.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system a record pertaining to him or her by contacting the most convenient district or branch office (see Appendix F.1 for address information). These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Beneficiary or authorized representative.

Systems exempted from certain provisions of the act: None.

09-60-0081

System name: Problem Case File (Supplemental Security Income), HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch offices (see Appendix F.1 for address information); Assistant Regional Commissioner, Programs (see Appendix D.2 for address information); and telecervice centers (see Appendix F.4 for address information).

Categories of individuals covered by the system: Applicants for and recipients of supplemental security income payments.

Categories of records in the system: Listing of cases with date of eligibility in 1974 contains individual's name, social security number and in some cases additional information pertaining to factors of eligibility such as income, resources, and living arrangements. Claims folder containing application and documentation of factors of eligibility may also be in the file.

Authority for maintenance of the system: Section 1631 of the Social Security Act.

Purpose(s): This system controls complex cases which require special expertise.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Internal Revenue Service, Department of the Treasury as, necessary, for the purpose of auditing the Social Security Administration's compliance with the safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Claims material is maintained in manila type folders. Also computerized paper listing.

Retrievability: By name and social security number.

Safeguards: Available on a need to know basis.

Retention and disposal: Retained indefinitely or until problem is resolved.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system a record pertaining to him or her by writing to the address specified in Appendix F 3. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Applications for supplemental security income as provided by applicant.

Systems exempted from certain provisions of the act: None.

09-60-0082

System name: Forced Payment File (Supplemental Security Income), HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch offices (see Appendix F.1 for address information); Assistant Regional Commissioner, Programs (see Appendix D.2 for address information); and teleservice centers (see Appendix F.4 for address information).

Categories of individuals covered by the system: Applicants for and recipients of supplemental security income payments.

Categories of records in the system: Paper listing containing name, social security number, and type of action being taken on the case.

Authority for maintenance of the system: Section 1631 of the Social Security Act.

Purpose(s): This system is used to control cases which may require a special procedure for processing a claim for supplemental security income payments.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper listing.

Retrievability: By name and social security number.

Safeguards: Available to personnel on a need to know basis.

Retention and disposal: Retained for 1 year and then destroyed by shredding.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information.)

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the address specified in Appendix D.2.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents sought. These access procedures are in accordance the HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Applications for supplemental security income payments as provided by applicants and redeterminations of SSI eligibility.

Systems exempted from certain provisions of the act: None.

09-60-0083

System name: One Time Payment File, HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch offices (see Appendix F.1 for address information); Assistant Regional Commissioner, Programs (see Appendix D.2 for address information); and teleservice centers (see Appendix F.4 for address information).

Categories of individuals covered by the system: Applicants for and recipients of supplemental security income.

Categories of records in the system: File contains name of applicant, social security number, amount paid, months for which paid. Some records may also include other data pertaining to eligibility factors such as income, resources, living arrangement, etc.

Authority for maintenance of the system: Section 1631 of the Social Security Act.

Purpose(s): Information in this system is used by social security employees in cases where supplemental security income one time payments are made, and to insure that duplicate payments are not made.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To State audit agencies pursuant to agreements with HHS for auditing State supplementation payments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: 5 X 8 card, tally strips or copies of form SSA-8109 (SSI Manual Payment Computation Summary). Records, except for tally strips which are housed on a large drum type holder, are kept in file cabinets.

Retrievability: By name and social security number.

Safeguards: Access limited to employees on a need to know basis. Area secured at night--doors locked.

Retention and disposal: Retained indefinitely or until one-time payment has been posted to the system.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system contains arecord pertaining to him or her by writing to the address specified in Appendix D.2. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Applications for supplemental security income as provided by applicant.

Systems exempted from certain provisions of the act: None.

09-60-0084

System name: Control File for Cases Before Presiding Officers, HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch offices (see Appendix F.1 for address information); Assistant Regional Commissioner, Program (see Appendix D.2 for address information); and teleservice centers (see Appendix F.4 for address information).

Categories of individuals covered by the system: Applicants for supplemental security income payments.

Categories of records in the system: Card file contains individual's name, social security number, and chronological record of case processing. Claims file (if present) contains, in addition, factors of eligibility such as income, resources, living arrangements, etc.

Authority for maintenance of the system: Section 1631 of the Social Security Act.

Purpose(s): This system maintains information which social security uses to answer inquiries from the applicant, social security district offices, and the Office of Hearings and Appeals.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the epartment of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice epartment has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: 5 X 8 card or SSA-250 (Development Worksheet). Claims material maintained in manila type folders.

Retrievability: By name and social security number.

Safeguards: Available to staff on a need to know basis.

Retention and disposal: Card files destroyed 4 months after effectuation takes place to make payments to applicant. Cases retained for at least 35 days from date of receipt from Presiding Officer to facilitate appeals process before forwarding for storage.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the address specified in Appendix F.3. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Applications for supplemental security income as provided by applicant.

Systems exempted from certain provisions of the act: None.

09-60-0085

System name: Claims Leads, HHS/SSA/ARC-FO.

Security classification: None.

System location: District and branch office (not maintained by all offices) (see Appendix F.1 for address information).

Categories of individuals covered by the system: Individuals potentially eligible for benefits under Titles II, XVI, XVIII of the Social Security Act.

Categories of records in the system: Leads from mental hospital admissions, welfare, Internal Revenue Service, Veterans Administration, etc., who may be eligible for benefits under the various social security programs. Lead forms generally contain name and address of individual, date of birth, existence of a mental or physical impairment, data on dependents, last date worked, etc.

Authority for maintenance of the system: Section 205(a) of the Social Security Act.

Purpose(s): This system maintains information which social security uses to initiate contact with individuals to determine their eligibility to benefits.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to a inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Letter size forms usually maintained in manila type folders and interfiled with pending claims and postentitlement file.

Retrievability: Filed by name in alphabetical order in claims pending file.

Safeguards: File drawers locked at night. Usually only available to personnel on a need to know basis.

Retention and disposal: Leads maintained until claim is taken or 6 months from date inquirer is invited by letter to file a claim, whichever is earliest.

System manager(s) and address:

Assistant Regional Commissioner, Field Operations
(See Appendix F.2 for address information).

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the most convenient social security district or branch office (see Appendix F.1 for address and telephone information). These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Inquirer or third parties.

Systems exempted from certain provisions of the act: None.

09-60-0089

System name: Claims Folders for Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits, HHS/SSA/OOPP.

Security classification: None.

System location:

The claims folders are generally set up in district or branch offices when claims for benefits are filed (see Appendix F.1 for address information). They are retained there until all development has been completed, and then transferred to the appropriate reviewing office as set out below. Supplemental security income claims folders are held in district or branch offices pending establishment of a payment record, or until the appeal period, in a denied claim situation, has expired. The folders are then transferred to a folder-staging facility in Chicago prior to transfer to the Chicago Federal Archives Records Center.

Retirement and survivors insurance claims folders are maintained primarily in social security program service centers. However, if an individual to which the claim pertains resides outside the United States or any of its possessions, the folder is maintained in the Office of International Policy. See Appendix A for address information regarding the Program Service Centers and the Office of International Policy.

Disability insurance claims folders for individuals under age 62 are maintained primarily in the Office of Disability Operations, or if the individual resides outside the United States or any of its possessions, the Office of International Policy. Disability insurance claims folders for disabled individuals over age 62 are maintained in the Program Service Centers or the Office of International Policy (see Appendix A for address information).

Claims folders relating to Black Lung claims are maintained in the Office of Disability Operations (see Appendix B.1 for address information).

Supplemental security income claims folders are maintained in the Chicago Federal Archives Records Center.

In addition, claims folders are transferred to numerous other locations throughout the Social Security Administration and the General Service Administration and infrequently may be temporarily transferred to other Federal agencies (Department of Justice, or Office of the General Counsel, Department of Health and Human Services). The disability claims folders are also transferred to State agencies for disability and vocational rehabilitation determinations (see Appendix B.3 for address information).

Categories of individuals covered by the system: Claimants for retirement, survivors, disability, health insurance, or black lung benefits or supplemental security income payments.

Categories of records in the system: The claims folder is established when a claim for benefits is filed. It contains application for benefits, earnings record information established and maintained by the Social Security Administration, documents supporting factors of entitlement and continuing eligibility, payment documentation, and correspondence to and from claimants and/or representatives.

It also may contain data collected as a result of inquiries or complaints; and evaluation and measurement study of effectiveness of claims policies. Separate files may be maintained of certain actions which are entered directly into the computer processes. These relate to reports of changes of address, work status, and other post-adjudicative reports.

Authority for maintenance of the system: Sections 202-205, 223, 226, 228, 1611, 1631, 1818, 1836, and 1840 of the Social Security Act and Section 411 of the Federal Coal Mine and Health Safety Act.

Purpose(s): The claims folder constitutes the basic record for payments and determinations under the Social Security Act and the Federal Coal Mine Health and Safety Act (Black Lung Act). Data are used to produce and maintain the Master Beneficiary Record (09-60-0090) which is the automated payment system for retirement, survivors, and disability benefits; the Supplemental Security Income Record (09-60-0103) system for the aged, blind, and disabled payments; the Black Lung Payment System (09-60-0045) for black lung claims; and the Health Insurance Billing and Collection Master Record system (09-70-0522) for hospital and supplementary medical (medicare) insurance benefits.

This paper file is controlled by the Social Security Administration Claims Control System (09-60-0091) while the claim is pending development for adjudication in the district or branch office, and by the Case Control System (09-60-0092) once the folder the folder has been transferred to the reviewing office (program service centers, Office of International Policy, or the Office of Disability Programs).

The claims folders are used throughout the Social Security Administration for the purposes of determining, organizing, and maintaining documents for making normal determinations as to eligibility for benefits, the amount of benefits, reviewing continuing eligibility, holding hearings or administrative review processes, and to ensure that proper adjustments are made based on events affecting entitlement. The folder may be referred to State Disability Determination Sections or Vocational Rehabilitation Agencies in disability cases. They may also be used for quality review, evaluation, and measurement studies, and other statistical and research purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To third party contacts in situations where the party to be contacted has, or is expected to have, information relating to the individual's capability to manage his/her affairs or his/her eligibility for or entitlement to benefits under the social security program when:
(a) The individual is unable to provide information being sought (an individual is considered to be unable to provide certain types of information when any of the following conditions exist:
(i) he/she is incapable or of questionable mental capability;
(ii) he/she cannot read or write;
(iii) he/she cannot afford the cost of obtaining the information;
(iv) a language barrier exists; or
(v) the custodian of the information will not, as a matter of policy provide it to the individual; or
(b) The data are needed to establish the validity of evidence or to verify the accuracy of information presented by the individual, and it concerns one or more of the following:
(i) his/her eligibility for benefits under the social security program;
(ii) the amount of his/her benefit payment; or
(iii) any case in which the evidence is being reviewed as a result of suspected abuse or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement activities.
2. To third party contacts where necessary to establish or verify information provived by representative payees or payee applicants.
3. To a person (or persons) on the rolls when a claim is filed by an individual which is adverse to the person on the rolls; that is:
(a) an award of benefits to a new claimant precludes an award to a prior claimant; or
(b) an award of benefits to a new claimant will reduce the benefit payments to the individual(s) on the rolls; but only for information concerning the facts relevant to the interests of each party in a claim.
4. To employers or former employers for correcting or reconstructing earnings records and for social security tax purposes only.

5. To the Treasury Department for collecting social security taxes or as otherwise pertinent to tax and benefit payment provisions of the Social Security Act, (including social security number verification services) and for investigating alleged theft, forgery, or unlawful negotiation of social security checks.
6. To the United States Postal Service for investigating alleged forgery of theft of social security checks.
7. To the Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, for representing the Secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.
8. To the Department of State for administering the Social Security Act in foreign countries.
9. To the American Institute on Taiwan for administering the Social Security Act on Taiwan.
10. To the Veterans Administration, Regional Office Philippines, for administering the Social Security Act in the Philippines.
11. To the Department of Interior for administering the Social Security Act in the Trust Territory of the Pacific Islands.
12. To the Railroad Retirement Board for administering provisions of the Social Security Act relating to railroad employment.
13. To State social security administrators for administration of agreements pursuant to section 218 (State and local).
14. To State audit agencies for auditing State supplementation payments and Medicaid eligibility considerations, and expenditures of Federal funds by the State in support of the Disability Determination Section (DDS).
15. To private medical and vocational consultants for use in making preparation for, or evaluating the results of, consultative medical examinations or vocational assessments which they were engaged to perform by the Social Security Administration or a State agency acting in accord with sections 221 or 1633.
16. To specified business and other community members and Federal, State, and local agencies for verification of eligibility for benefits under section 1631(e).
17. To institutions or facilities approved for treatment of drug addicts or alcoholics as a condition of the individual's eligibility for payment under section 1611e and as authorized by regulations issued by the Special Action Office for Drug Abuse Prevention.
18. To applicants, claimants, prospective applicants or claimants, other than the data subject, their authorized representatives or representative payees to the extent necessary to pursue social security claims and receive an account of benefit payments.
19. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
20. In the event of litigation where the defendant is (a) the epartment of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice epartment has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
21. In response to legal process or interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.
22. To Federal, State, or local agencies (or agents on their behalf) for administering income maintenance or health maintenance programs. Such disclosures include, but are not limited to, release of information to:
(a) the Railroad Retirement Board for administering provisions of the Railroad Retirement Act relating to railroad employment and for administering the Railroad Unemployment Insurance Act;
(b) the Veterans Administration for administering 38 U.S.C. 412, and upon request, information needed to determine eligibility for or amount of VA benefits or verifying other information with respect thereto;
(c) the Department of Labor for administering provisions of Title IV of the Federal Coal Mine Health and Safety Act
(d) State welfare departments for administering sections 205(c)(b)(i)(II) and 402(a)(25) of the Social Security Act requiring information information about assigned social security numbers for Aid to Families with Dependent Children program purposes only
(e) State agencies for making determinations of Medicaid eligibility; and
(f) State agencies for making determinations of food stamp eligibility under the food stamp program.
(g) To State Vocational Rehabilitation agencies or State crippled Children's service agencies (or other agencies providing services to disabled children) for consideration of rehabilitation services per sections 222a and 1615 of the Social Security Act.
23. To State welfare departments pursuant to agreements with the Social Security Administration for administration of State supplementation payments; for enrollment of welfare recipients for medical insurance under section 1843 of the Social Security Act; and for conducting independent quality assurance reviews of supplemental security income recipient records, provided that the agreement for Federal administration of the supplementation provides for such an independent review.
24. Information necessary to adjudicate claims filed under an international social security agreement that the United States has entered into pursuant to Section 233 of the Social Security Act may be disclosed to a foreign country that is a party to that agreement.
25. To the Internal Revenue Service, Department of the Treasury, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.
26. To the Office of the President for responding to an individual pursuant to an inquiry received from that individual or from a third party on his or her behalf.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Claims folders are maintained in file cabinets by service area as set out in Location above.

Retrievability: Claims folders are filed by social security number.

Safeguards: Claims folders are protected through limited access to Social Security Administration records, limited employee access to need to know. All employees are instructed in Social Security Administration confidentiality rules as a part of their initial orientation training.

Retention and disposal: The claims folder is initially maintained in the reviewing office. Later, both active and inactive folders are transferred to the Federal Archives and Records Center for storage and inactive (no one is entitled to benefits) folders are scheduled for destruction. The time for retention prior to destruction is: 5-year retention - no record of surviving potential beneficiaries; 20-year retention - withdrawn claims, claims disallowed or lump-sum death payments only, and 55-year retention - potential future claimants indicated in the file.

When a subsequent claim is filed on the social security number, the claims file is recalled from the Records Center. Similarly, the claims files may be recalled from the Records Center at any time by the Social Security Administration as necessary in the administration of social security programs.

System manager(s) and address:

SSA Privacy Officer
6401 Security Boulevard
Baltimore Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the most convenient social security office (see Appendix F.1 for address and telephone information).

When requesting notification, an individual should provide his or her name, social security number, the type of claim he or she filed (retirement, survivors, disability, health insurance, black lung special minimum payments, or supplemental security income; if more than one claim is filed, each should be identified), whether he or she is or has been receiving benefits, whether payments are being received under his or her own social security number, and if not, the name and social security number under which received, if benefits have not been received, the approximate date and place the claim was filed, and his or her address and/or telephone number.

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse affect on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and inform the subject individual in writing that the records have been sent.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the information being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: This information is obtained from the claimants, accumulated by the Social Security Administration from reports of employers or self-employed individuals, various local, State, and Federal agencies, claimant representatives and other sources to support factors of entitlement and continuing eligibilities.

Systems exempted from certain provisions of the act: None.

09-60-0090

System name: Master Beneficiary Record HHS SSA OURV.

Security classification: None.

System location: Office of Systems, 6401 Security Boulevard, Baltimore, Maryland 21235.

Categories of individuals covered by the system: All social security beneficiaries currently entitled to receive retirement, survivors, disability, and special minimum social security benefits; records for beneficiaries whose entitlement has been terminated because of a termination event as defined in the Social Security Act; and denied and disallowed cases.

Categories of records in the system: The master beneficiary data contains data applicable to all beneficiaries maintained on the record within a particular account and reflects the social security number under which benefits are awarded, the primary insurance amount (insured) or quarters of coverage required and earned (uninsured); provides information regarding benefit computation, insured status, use of railroad or military credits, and information for statistical and control purposes; contains the effective date of onset of disability for disability cases or date and proof of death for death cases; contains information pertinent to all beneficiaries receiving payment on the record and the name and address (including ZIP Code) of the payee, the servicing social security district office code and the amount of the monthly check payable; reflects any special status of a payment being made; contains statistical and identifying information for each individual on the record such as the beneficiary subscript, beneficiary name, date of birth, date of entitlement, sex, race, and benefit payment status; contains information for those beneficiaries enrolled in the health or supplemental medical insurance provision of the Social Security Act; contains information relating to annual reports of earnings, representative payee data, and cross-reference data pertinent to any other account on which the beneficiary may be entitled to benefits; and a chronological sequence of payment history for each beneficiary. The records may be in the following form:

Master Beneficiary Record Computer File; Online Data Base (Query and Response); Various Microform Files as follows: Master File—a master record in social security number order, Alpha File—an alphabetic list of beneficiaries, Transaction File—monthly supplement (accretions, deletions, and changes) to the master file, in social security number order, Offline Query and Response, Treasury Payment Tape Files and Related Transaction Files, and Returned and Cancelled Check Files, and payment reference listing, Various One-Time Work Tape Files used in computer sorting of records and in subsystems processing of the master beneficiary record. After use they are returned to stock.

Authority for maintenance of the system: Payment of benefits is directed by the following sections: Sections 202a–205, 223, 226, 228, 1818, 1836, 1840 and of the Social Security Act.

Purpose(s): Data in this system are used by a broad range of social security employees for responding to inquiries, generating, followups on beneficiary reporting events, computer exception processing statistical studies, conversion of benefits, and to generate records for the Treasury Department. Data in this system are also available to the DHHS Inspector General for use in the performance of his duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To applicants or claimants, prospective applicants or claimants, other than the data subject, their authorized representatives or representative payees to the extent necessary to pursue social security claims and receive and account for benefit payments.

2. To third party contacts in situations where the party to be contacted has, or is expected to have, information relating to the individual's capability to manage his/her affairs or his/her eligibility for or entitlement to benefits under the social security program when:

(a) The individual is unable to provide information being sought (an individual is considered to be unable to provide certain types of information when):

(i) he/she is incapable or of questionable mental capability;

(ii) he/she cannot read or write;

(iii) he/she cannot afford the cost of obtaining the information;

(iv) a language barrier exists; or

(v) the custodian of the information will not, as a matter of policy, provide it to the individual; or

(b) The data are needed to establish the validity of evidence or to verify the accuracy of information presented by the individual, and it concerns one or more of the following:

(i) his/her eligibility for benefits under the social security program;

(ii) the amount of his/her benefit payment; or

(iii) any case in which the evidence is being reviewed as a result of suspected abuse or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement activities.

3. To third party contacts where necessary to establish or verify information provided by representative payees or payee applicants.

4. To a person (or persons) on the rolls when a claim is filed by another individual which is adverse to the person on the rolls:

(a) an award of benefits to a new claimant precludes an award to a prior claimant; or

(b) an award of benefits to a new claimant will reduce the benefit payments to the individual(s) on the rolls; but only for information concerning the facts relevant to the interests of each party in a claim.

5. To the Treasury Department for collecting social security taxes or as otherwise pertinent to tax and benefit payment provisions of the Social Security Act, (including social security number verification services) and for investigating alleged theft, forgery, or unlawful negotiation of social security checks.

6. To the United States Postal Service for investigating alleged forgery or theft of social security checks.

7. To the Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, for representing the Secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

8. To the Department of State for administering the Social Security Act in foreign countries.

9. To the American Institute on Taiwan for administering the Social Security Act on Taiwan.

10. To the Veterans Administration, Regional Office Philippines, for administering the Social Security Act in the Philippines.

11. To the Department of Interior for administering the Social Security Act in the Trust Territory of the Pacific Islands.

12. Information necessary to adjudicate claims filed under an international social security agreement that the United States has entered into pursuant to Section 233 of the Social Security Act may be disclosed to a foreign country which is a party to that agreement.

13. To the Office of the President for the purpose of responding to an inquiry received from that individual or from a third party on his or her behalf.

14. To the Office of Education for determining eligibility of applicants for basic educational opportunity grants.

15. To the Railroad Retirement Board for administering provisions of the Social Security Act relating to railroad employment.

16. To the Bureau of Census when it performs as a collecting agent or data processor for research and statistical purposes directly relating to the social Security Act.

17. To the Department of the Treasury, Office of Tax Analysis, for studying the effects of income taxes and taxes on earning.

18. To the Office of Personnel Management (formerly the Civil Service Commission) for the study of the relationship of civil service annuities to minimum social security benefits, and the effects on the trust fund.

19. To State social security administrators for administration of agreements pursuant to section 218 (State and local).

20. To the Energy Resources Development Administration for their study of the long-term effects of low-level radiation exposure.

21. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

22. To contractors under contract to the Social Security Administration or under contract to another agency with funds provided by the Social Security Administration for the performance of research and statistical activities directly relating to the Social Security Act.

23. To the Department of Labor, for statistical studies of the relationship of private pensions and social security benefits to prior earnings.

24. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) and HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee. HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

25. In response to legal process or interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.

26. To Federal, State, or local agencies (or agents on their behalf) for administering income maintenance or health maintenance programs. Such disclosures include, but are not limited to, release of information to:

(a) the Railroad Retirement for administering provisions of the Railroad Retirement Act relating to railroad employment and for administering the Railroad Unemployment Insurance Act;

(b) the Veterans Administration for administering 38 U.S.C. 412, and upon request, for determining eligibility for or amount of VA benefits or verifying other information with respect thereto;

(c) State Welfare Departments for administering sections 205(c)(2)(B)(i)(II) and 401(a)(25) of the Social Security Act requiring information about assigned social security numbers for Aid Families with Dependent Children program purposes and for determining a recipient's eligibility under the AFDC program; and

(d) State agencies for administering the Medicaid program.

27. Upon request, information on the identity and location of aliens may be disclosed to the Department of Justice (Criminal Division, Office of Special Investigations) for the purpose of detecting, investigating, and where appropriate, taking legal action against suspected nazi war criminals in the United States.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, magnetic disk, microfilm, and paper.

Retrievability: Based on social security number on magnetic tape, disk, microfilm readers and printers, listings, and online computer terminals.

Safeguards: All magnetic tapes and discs are within an enclosure attended by security guards. Anyone entering or leaving this enclosure must have special badges which are issued only to authorized personnel. All microfilm and paper files are accessible only by authorized personnel with a need to know. For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with Department standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exlusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: Magnetic tape records are used to update the disc files and then are retained up to 90 days; the majority of magnetic tape reels are erased and returned to stock after processing is completed, while the disc files are continuously updated and retained indefinitely. Microfilm is disposed of by shredding after periodic replacement, of a complete file. Paper records are usually destroyed after use, by shredding, except where needed for documentation of the claims folder, in which case they are retained therein indefinitely (see notices for Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits, 09-60-0089).

System manager(s) and address:

Director,Office of User Requirements and Validation,6401 Security Boulevard,Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the most convenient social security office (see Appendix F.1 for address information).

When requesting notification, an individual should furnish his or her social security claim number (social security number plus alphabetic symbols), name, address, and proper identification. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The information for the Master Beneficiary Record comes primarily from the claims folder and/or is furnished by the beneficiary at the time of filing for benefits, via the application form and necessary proofs, and during the period of entitlement when notices of events such as changes of address, work, marriage, are given the Social Security Administration by the beneficiary; from States regarding health insurance third party premium payment/buy-in cases.

Systems exempted from certain provisions of the act: None.

09-60-0091

System name: Social Security Administration Claims Control System, HHS/SSA/OURV.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A control record is established when a claim(s) for Retirement, Survivors, Disability, and/or Health Insurance Benefits is filed on a particular social security number (SSN). Only one record is established for each social security number even though more than one claim may be filed simultaneously--e.g., claims for the wage earner, his wife, and children on one social security number.

Categories of records in the system: The record content is: social security number and wage earner's name; the date the application was filed--for a few cases it is not included because it is not known when the record is established; the type of action--i.e., Retirement, Survivors, Disability, and/or Health Insurance Benefits; the potential month of entitlement--for monthly benefits this will be the first month for which benefits may be paid; the code for the district office that processed the application; the district office that released the claim to the State agency or program center; the present location of the claim; the date the claim was released by one office and received by another.

Authority for maintenance of the system: Section 205q of the Social Security Act--This provision necessitates a systems control of claims to ensure payment within prescribed time pars.

Purpose(s): This record system is used to control claims from the point they originate in a district office until they are finally processed to completion and enables the Administration to identify those claims for which inordinate delays occur. Once identified, expeditious processing is initiated. Moreover, the data present in the system is useful in the reconstruction of a claim if the application were to be lost.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disk for online and offline retrieval.

Retrievability: Indexed by social security number.

Safeguards: Magnetic tape and disk records protected through standard security measures used for all SSA's computer records--limited access to Social Security Administration offices--limited employee access to computer facilities based on specific authorization.

For computerized records, electronically transmitted between Central Office and field office locations (including organizations administering SSA programs under contractual agreements), systems securities are established in accordance with HHS standards and National Bureau of Standards guidelines. Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

Retention and disposal: The records on the magnetic tapes are purged when the decision of award or disallowance is made on the social security number or at 1 year from the date the record is established, whichever occurs first. The old versions of tapes are erased and returned to stock. The disk files are continuously updated and retained indefinitely.

System manager(s) and address:

Director
Office of User Requirements and Validation
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the most convenient social security office (see Appendix F for address information) and providing his or her social security claim number (social security number plus alphabetic symbols), name, address and proper identification. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. The data in this system are extremely limited since the system is a mechanism used by SSA to control and expedite the processing of claims. However, requesters who wish to reference this system, should provide their name, social security number, approximate date and place claim was filed, type of claim (retirement, survivors, disability, or health insurance), and return address or phone number. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. It is maintained that little of the data in this system is contestible, however, should an individual wish to contest it upon review, he or she may do so by contacting staff at the office specified under notification procedures above. If he or she decides to contest, he or she should reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The data are derived from the information furnished by the claimant on his application and by control data that is received as the claim is sent from the district office to other social security offices.

Systems exempted from certain provisions of the act: None.

09-60-0092

System name: Automated Control System for Case Folders, HHS/SSA/OURV.

Security classification: None.

System location: Program Service Centers and the Office of International Policy (see Appendix A for address information).

Office of Disability Programs (See Appendix B.1 for address information).

Categories of individuals covered by the system: All claimants who have a social security number, have filed a claim under Titles II, retirement, survivors, and disability insurance; XVI, supplemental security income, and XVIII, health insurance, of the Social Security Act, and whose claims have been processed through to a decision of award, disallowance, withdrawal, or termination such claims are in the adjudication process for reaching the aforementioned decisions.

Categories of records in the system: A control record by social security number containing data relative to the location of the claim serviced by one of the offices maintaining jurisdictional responsibility. Whether the claims folder is maintained in that office, temporarily or permanently transferred to another office within the Social Security Administration, a State disability, or vocational rehabilitation agency, or for storage in a Federal Records Center.

Authority for maintenance of the system: The payment provisions of the Social Security Act and Federal Coal Mine Health and Safety Act, Sections 202, 223, 226, 228, 1611, 1631, 1818, and 1836 of the Social Security Act and 411 of the Federal Coal Mine Health and Safety Act. The information for this system is derived from the claims filing process and duplicates, in fact, that set out in the Claims Folder Systems Notice, 09-60-0089.

Purpose(s): This system is used by social security offices to identify the location of claims as well as enabling them to associate and process incoming material in a timely fashion. The identification and exact location feature assists SSA in meeting the standards of service to the public in processing and deciding claims for benefits. Data are also used to identify where operating weaknesses are to facilitate corrective action by management. Management data is also derived from the control records to provide statistical data relative to workloads, staffing, and manpower usage.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic disk storage files and magnetic tape files. usage.

Safeguards: Disk and tape files protected through standard security measures used for all of Social Security Administration's computer records--limited access to social security offices, and limited employee access to computer facilities based on specific authorizations.

Retention and disposal: The control records are maintained indefinitely. No provisions have been made to dispose of the control records nor is any contemplated as of now. When disk files are rewritten, the old disks are erased and returned to stock.

System manager(s) and address:

Director
Office of User Requirements and Validations
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by following the instructions below:

If the records relate to a retirement or survivors claims, the individual should contact the appropriate program service center (see Appendix A for social security number and address information).

If the individual named in the record resides outside the United States, or any of its possessions, or if the requested information relates to a foreign claim, the individual should write to the Office of International Policy (see Appendix A for address information).

Requests for other information should be forwarded to the Office of User Requirements and Validation at the address shown above under system manager. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. The data in this file is extremely limited since the system is a mechanism used by SSA to locate claims folders and claims in process. However, if an individual would like access to records in this system, he or she should provide his or her name, social security number, and related address to the appropriate address specified under notification procedures above. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. It is maintained that little of the data here is contestible, however, should an individual wish to contest it upon review, he or she may do so by writing to the appropriate address specified under notification procedures and reasonably identifying the record and specifying the information to be contested..

Record source categories: The control records are developed from recordings of cards containing social security numbers and coded location identifiers. Also, magnetic tape files prepared in Baltimore containing social security numbers and location identifications are provided to the jurisdictional offices to reflect the location of claims wherever located in Social Security Administration offices.

Systems exempted from certain provisions of the act: None.

09-60-0094

System name: Recovery Accounting for Overpayments, HHS/SSA/OURV.

Security classification: None.

System location:

Office of Systems

6401 Security Boulevard
Baltimore, Maryland 21235

Social Security Administration Program Service Centers
Office of International Policy (see Appendix A for Address information).

Office of Disability Operations
Baltimore, Maryland 21241

Lists of overpaid individuals, which are produced by this computer system, are maintained at each district or branch office (see Appendix F for address information).

Categories of individuals covered by the system: All social security beneficiaries who received an overpayment of benefits. All persons holding conserved (accumulated) funds received on behalf of a social security beneficiary. All persons who received social security payments on behalf of a beneficiary and were found to have misused these payments.

Categories of records in the system: Identifying characteristics of each overpayment or instance of misused or conserved funds. Name and address of the individual(s) involved. Recovery efforts made and the date of each action. Planned future actions.

Authority for maintenance of the system: Section 204(a) of the Social Security Act (42 United States Code 404(a)).

Purpose(s): The users of this system are employees of district and branch offices, as well as selected personnel of social security program service centers, the Office of International Policy, and the Office of Disability Operations. The data are used to maintain control of overpayments and misused or conserved funds from the time of discovery to the final resolution and for the proper adjustments of payment and refund amounts. Data adjustment produce accounting and statistical reports at specified intervals.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Office of the President for the purpose of responding to an individual pursuant to an inquiry received from that individual or a third party on his/her behalf.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, magnetic disk and microfiche in the Bureau of Data Processing. Microfiche in program service centers, the Bureau of Disability Insurance and the Division of International Operations. Paper listings in district and branch offices.

Retrievability: Magnetic tape, magnetic disk and microfiche indexed by social security number.

Safeguards: Magnetic tape, magnetic disk, microfiche and paper records are protected through standard security measures used for all of the Social Security Administration's records--limited access to Social Security Administration offices--limited access to files to employees on a need to know basis.

Retention and disposal: Magnetic tape files are updated daily and retained for 10 days, after which the tapes are erased and returned to stock. The magnetic tape file produced in the last operation of the month is retained in security storage for a period of 30 days, after which the tapes are erased and returned to storage. The microfiche records are updated monthly, retained for one month after the month they are produced, and then destroyed by application of heat. Paper listings are destroyed when overpayment issue is resolved or updated listing is received. The disk files are continuously updated and retained indefinitely.

System manager(s) and address:

Director
Office of User Requirements and Validation
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the most convenient social security office (see Appendix F for address information) or the appropriate program service center (see Appendix A for address information).

When requesting notification, an individual should provide his or her name, social security number, address, other information which will assist in locating the requested materials (e.g., data about a prior or current overpayment), and reference this system of records. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The information for the computer files is received directly from beneficiaries, from district and branch offices, and as the result of earnings enforcement operations. The paper listings are updated as a result of the computer operations.

Systems exempted from certain provisions of the act: None.

09-60-0095

System name: Health Insurance Overpayment Ledger Cards, HHS/SSA/OURV.

Security classification: None.

System location:

Social Security Administration
Program Service Centers and
Office of International Policy (see Appendix A for address information).

Office of User Requirements and Validation
6401 Security Boulevard
Baltimore, Maryland 21241

Categories of individuals covered by the system: All social security health and supplemental medical insurance enrollees who received incorrect medicare payments or services, who are determined liable, and against whom it is not possible to adjust subsequent Part A (Hospital) or Part B (Supplementary Medical) benefits.

Categories of records in the system: A clerical record of each overpaid medicare benefit, name and address of the individual(s) involved. Recovery efforts made and the date of each action. Planned future actions.

Authority for maintenance of the system: Sections 1814, 1833 and 1870 of the Social Security Act.

Purpose(s): The users of this system are selected employees of social security program service centers, the Office of International Policy, and the Office of Disability Operations. The information recorded by the program service centers is used to maintain control of medicare overpayments referred to the program service center from the Health Care Financing Administration for recovery action. In these cases, the Health Care Financing Administration is unable to recoup the overpayment by adjusting subsequent medicare benefits. The information on the ledger cards is also used to produce periodic accounting, management, and statistical reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Card stock in metal cabinets.

Retrievability: By social security number.

Safeguards: Records protected through standard security means for all of the Social Security Administration's clerical records (see Appendix J), limited access to buildings and limited access by employees on a need to know basis.

Retention and disposal: Retained in the program service center for a period of one year after collection efforts terminated and then transferred to the Federal Records Center where they are retained for 3 years, then destroyed.

System manager(s) and address:

Director
Office of User Requirements and Validation
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by following the following procedures:

If the requested records relate to a retirement or survivors claims, the individual should contact the appropriate social security program service center (based on social security number) (see Appendix A for address and social security number information).

If the individual named in the record resides outside the United States or its possessions, contact should be made to the Office of International Policy (see Appendix A for address information).

If the requested records relate to a disability claim, the individual should write to:

Office of Disability Operations
6401 Security boulevard
Baltimore, Maryland 21235

When requesting notification, an individual should provide his or her name, social security number, and reference this system. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The information is received indirectly from the providers of Medicare services through the Health Care Financing Administrationand directly from the Health Care Financing Administration as a result of their audit procedures.

Systems exempted from certain provisions of the act: None.

09-60-0097

System name: Program Integrity Case Files, HHS/SSA/OA.

Security classification: None.

System location:

Office of Assessment
6401 Security Boulevard
Baltimore, Maryland 21235

Field Integrity Staff located in
Field Assessment Office (see Appendix L.1 for address information).

Categories of individuals covered by the system: Persons suspected of violating Federal law affecting the administration of programs under the responsibility of the Social Security Administration, including those against whom civil recovery action is being considered or pursued.

Categories of records in the system: Information maintained in each record includes the identity of the suspect, the nature of the alleged offense, documentation of the investigation into the alleged offense, and the disposition of the case by the Social Security Administration or the United States Attorney.

Authority for maintenance of the system: Sections 206, 208, 1106, 1107, 1631(d)(2), 1632, of the Social Security Act, and section 413 of the Federal Coal Mine Health and Safety Act.

Purpose(s): The information in this system pertains to suspected violations and fraud investigations. Cases may move through several levels of the Social Security Administration organization at the district, regional and/or central office locations during the course of documenting a suspected fraudulent situation.

Material in this system is used by SSA staff to determine if a violation of the penal provisions of the Social Security Act or related provisions of the United States Code has been committed. If so, such material is used as the basis for referral of the case to the Department of Justice for consideration of prosecution. The material is also used to determine the direction of investigation of potential fraud situations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. to officers or employees of State government as well as the CHAMPUS program for use in conducting investigations of possible fraud or abuse against the title XIX or CHAMPUS program.
2. To States Attorneys in connection with State programs involving the Social Security Administration.
3. In cases involving fraudulent tax returns or forgery of social security checks are disclosed to the Treasury Department.
4. To the U.S. Postal Service for investigating alleged theft of social security checks.
5. To State and local polic authorities for the purposes of investigating the loss, theft, and/or forgery of Medicare checks.
6. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
7. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
8. To third party contacts for the purpose of establishing or negating a violation of the Social Security Act or related provisions of the U.S. Criminal Code.
9. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Manual system, records maintained in manila folders and stored in filing cabinets.

Retrievability: Records are indexed and retrieved by social security number or by name of the subject of the investigation.

Safeguards: Records are maintained in locked filing cabinets and are accessed only by employees with a job-related need for the information.

Retention and disposal: Records may be retained 5 years after final disposition of the case. At the end of the retention period, the records are destroyed by shredding.

System manager(s) and address:

Director, Division of Program Integrity
Office of Security and Program Integrity
Office of Assessment
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by providing his or her name, social security number, any social security number on which he or she has filed for, or received benefits, the type of such claim, and current claim status.

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and inform the subject individual in writing that the records have been sent.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Per 5 United States Code 522a (k)(2), the records in this system are exempt from access by the individual named in the records. However, access to information which is a matter of public record or documents furnished by the individual will be permitted.

Contesting record procedures: Same as above.

Record source categories: The information contained in this record system is the result of criminal investigation and may be derived from such sources as the suspect, witnesses, or Social Security Administration employees with a knowledge of the case.

Systems exempted from certain provisions of the act: Exemption of this system to the access provisions is claimed under section k(2) of the Privacy Act inasmuch as these records are investigatory materials compiled for program (law) enforcement in anticipation of a criminal proceeding. (See page 47413 of Federal Register of 10/8/75, Vol. 40, No. 196, Part V).

09-60-0102

System name: Fee Ledger System for Representatives, HHS/SSA/OIP.

Security classification: None.

System location: Records pertaining to representatives in retirement, survivors, disability, health insurance, supplemental security income and black lung benefit claims are maintained as indicated below:

Claims where a fee petition was processed through November 1974 involving retirement, survivors, disability and supplemental security income for the aged are located at:

Office of Insurance Programs
6401 Security Boulevard
Baltimore, Maryland 21235

Claims involving disability benefits, black lung and supplemental security income for the blind and disabled are located at:

Office of Disability Operations
6401 Security Boulevard
Baltimore, Maryland 21241

Claims that involve a hearing for disability, retirement, and survivors benefits, health insurance, black lung, or supplemental security income are located at:

Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Categories of individuals covered by the system: Attorneys and nonattorney representatives of claimants before the Social Security Administration.

Categories of records in the system: Name and address of representative, firm affiliation, if any, claimant's social security number, fee requested by representative, amount of fee approved by the Social Security Administration, amount withheld from claimant's past-due benefits, date the fee was approved, type of services rendered, reviewing and approving offices.

Authority for maintenance of the system: Sections 206 and 1631(d) of the Social Security Act, and section 413(b) of the Federal Coal Mine Health and Safety Act of 1969.

Purpose(s): This system provides a statistical base for projections of workloads, trends, cost analyses of legislative proposals, and similar activities. Such information is supplied upon request to government agencies, the Congress, and the public.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The central reference files are maintained by the SSA Office of Insurance Programs on ledger cards, and kept in locked metal file cabinets. The SSA Office of Disability Operations and Office of Assistance Programs and the HHS Health Care Financing Administration maintain carbon copies of the petition to obtain approval of a fee for representing a social security claimant. These copies, when maintained, may include a copy of the Social Security Administration's authorization to charge and receive a fee, and are filed in metal filing cabinets in the case of the Office of Hearings and Appeals, they are maintained in metal file cabinets.

Retrievability: Records are generally indexed alphabetically by name of the representative. If the representative is an attorney and no specific name is furnished the record is filed according to the name of the firm. The Office of Hearings and Appeals, however, maintains its file based on social security number of the claimant.

Safeguards: Normal security measures are imposed (see Appendix J.1). Only those SSA employees with a job-related need for the information can have access to the records in this system.

Retention and disposal: Ledger records are retained by the Office of Disability Operations for a period of 5 years from the date of the latest entry. If no entries are recorded within this period, the record is destroyed. When the ledger is destroyed, the name, address of the representative, and at least one social security number of an involved claim, is recorded and indexed for indefinite retention. Copies of the representatives petition are maintained in the SSA Office of Insurance Programs for 1 to 2 years. The fee ledgers are maintained indefinitely, as are the records in the SSA Offices of Disability Operations (through November 1978), Assistance Programs, Hearings and Appeals.

System manager(s) and address: See location above for appropriate manager to contact.

Director, Office of Insurance Programs
6401 Security Boulevard
Baltimore, Maryland 21235

Director, Office of Disability Operations
6401 Security Boulevard
Baltimore, Maryland 21241

Director, Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the appropriate system manager (see location above above) at one of the addresses shown above. When the appropriate system manager cannot be identified, the individual may contact the Director, Office of Insurance Programs at the address shown under system manager above.

All requests for information should include the representative's name, address, type of claim, date the fee was approved, and the social security number under which the claim was filed. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: All information is extracted and compiled from forms SSA-1560, Petition to Obtain Approval of a fee for Representing a Social Security Claimant, which is completed by the representative and form SSA-1560A, Authorization to Charge and Receive a Fee, which is prepared by the Social Security Administration.

Systems exempted from certain provisions of the act: None.

09-60-0103

System name: Supplemental Security Income Record HHS SSA OURV.

Security classification: None.

System location:

Office of Systems,6401 Security Boulevard,Baltimore, Maryland 21235

Regional, district, and branch offices (see Appendices D and F for address information).

Categories of individuals covered by the system: This file contains a record for each individual who has applied for supplemental security income (SSI) payments including individuals who have requested an advance payment, and SSI recipients who have been overpaid and for each essential person associated with an SSI recipient.

Categories of records in the system: This file contains data regarding SSI eligibility, citizenship, residence, medicaid eligibility, eligibility for other benefits, alcoholism or drug addiction data, if applicable (disclosure of this information may be restricted by 21 U.S.C. 1175 and 42 U.S.C.), income data, resources, payment amounts, including

overpayments amounts, and data and amount of advance payments, living arrangements, case folder location data, appellate decisions, if applicable, social security numbers used to identify a particular individual, and a history of changes to any of the preceding categories for all persons who have applied for SSI payments.

Authority for maintenance of the system: Sections 1602, 1611, 1612, 1613, 1614, 1615, 1616, 1631, 1633, and 1634 of Title XVI of the Social Security Act.

Purpose(s): Supplemental Security Income records begin in the social security district office where an individual files an application for supplemental security income payments. This application contains data which may be used to prove the identity of the applicant to determine his or her eligibility for supplemental security income payments and, in cases where eligibility is determined, to compute the amount of the payment. Information from the application, in addition to data used internally to control and process supplemental security income cases, is used to create the Supplemental Security Income Record (SSR). The SSR is also used as a means of providing a historical record of all activity on a particular individual's record. In addition, statistical data is derived from the SSR for acturial and management information purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure from this record may be made to:

1. the Treasury Department to prepare supplemental security income benefit checks.
2. the States to establish the minimum income level for computation of State supplement.
3. the following Federal and State agencies to prepare information for verification of benefit eligibility under section 1631(e):
   a. Bureau of Indian Affairs
   b. Civil Service Commission
   c. Department of Agriculture
   d. Department of Labor
   e. Immigration and Naturalization Service
   f. Internal Revenue Service
   g. Railroad Retirement Board
   h. State Pension Funds
   i. State Welfare Offices
   j. State Workmen's Compensation
   k. Department of Defense
   l. United States Coast Guard
   m. Veterans Administration
4. a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
5. Identify title XVI eligibles under the age of 16 to State crippled children's agencies (or other agencies providing services to disabled children) for the consideration of rehabilitation services per section 1615 of the Social Security Act.
6. contractors under contract to the Social Security Administration or under contract to another agency with funds provided by SSA for the performance of research and statistical activities directly relating to Social Security Act.
7. State audit agencies for auditing State supplementation payments and Medicaid eligibility consideration.
8. Veterans Administration information requested for the purposes of determining eligibility for or amount of VA benefits or verifying other information with respect thereto.
9. the Railroad Retirement Board for administering the Railroad Unemployment Insurance Act.
10. effect and report the fact of Medicaid eligibility of title XVI recipients in the jurisdiction of those States which have elected Federal determinations of Medicaid eligibility of title XVI eligibles and to assist the States in administering the Medicaid program.
11. identify title XVI eligibles in the jurisdiction of those States which have not elected Federal determinations of Medicaid eligibility in order to assist those States in establishing and maintaining Medicaid rolls and in administering the Medicaid program.
12. enable States which have elected Federal administration of their supplementation programs to monitor changes in applicant/recipient income, special needs, and circumstances.
13. enable States which have elected to administer their own supplementation programs to identify SSI eligibles in order to determine the amount of their monthly supplemental payments.
14. enable the States to locate potentially eligible individuals and to make determinations of eligibility for the food stamp program.
15. enable the States to assist in the effective and efficient administration of the supplemental security income program.
16. enable those States which have an agreement with the Secretary, to carry out their functions with respect to Interim Assistance Reimbursement per Section 1631(g) of the Social Security Act.
17. enable States to locate potentially eligible individuals and to make eligibility determinations for extensions of social services under the provisions of title XX.
18. assist the States in determining initial and continuing eligibility in their income maintenance programs and for investigation and prosecution of conduct subject to criminal sanctions under these programs.
19. enable the States to administer energy assistance to low income groups under programs for which the States are responsible.
20. In the event of litigation where the defendant is (a) the Department of Health and Human Services (DHHS), any component of DHHS, or any employee of DHHS in his or her official capacity; (b) the United States where DHHS determines that the claim, if successful, is likely to directly affect the operations of DHHS or any of its components; or (c) any DHHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, DHHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
21. enable the States to administer energy assistance to low income groups under programs for which the States are responsible.
22. the Department of Education for determining the eligibility of applicants for Basic Educational Opportunity grants.
23. Federal, State, or local agencies (or agents in their behalf) for administering cash or non-cash income maintenance or health maintenance programs.
24. the United States Postal Service for investigating the alleged theft, forgery, or unlawful negotiation of supplemental security income checks.
24. the Treasury Department for investigating the alleged theft, forgery, or unlawful negotiation of supplemental security income checks.
25. to the Internal Revenue Service, Treasury Department, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.
26. the Office of the President for the purpose of responding to an inquiry received from that individual or from a third party on his or her behalf.
27. Upon request, information on the identity and location of aliens may be disclosed to the Department of Justice (Criminal Division, Office of Special Investigations) for the purpose of detecting, investigating, and where appropriate, taking legal action against suspected nazi war criminals in the United States.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, magnetic disc, and microfiche.

Retrievability: Magnetic tape, magnetic disc, and microfiche are indexed by social security number.

Safeguards: All magnetic tapes and magnetic discs are within an enclosure attended by security guards. Anyone entering or leaving that enclosure must have special badges which are only issued to authorized personnel. All authorized personnel having access to the magnetic records are subject to the penalties of the Privacy Act. The microfiche are stored in locked cabinets, and are accessible to employees only on a need-to-know basis. All Supplemental Security Income Records (State Data Exchange records) are protected in accordance with agreements between the Social Security Administration and the respective States regarding confidentiality, use, and redisclosure.

Retention and disposal: Original input transaction tapes received which contain initial claims and posteligibility actions are retained indefinitely although these are processed as received and incorporated into processing tapes which are updated to the master supplemental security income tape file on a monthly basis. All magnetic tapes appropriate to SSI information furnished specified Federal, State, and local agencies for verification of eligibility for benefits and under section 1631(e) are retained, in accordance with the Privacy Act accounting requirements, for at least 5 years or the life of the record, whichever is longer.

System manager(s) and address:

Director, Office of User Requirement and Validation, 6401 Security Boulevard, Baltimore, Maryland 21235

Social Security District and Branch Offices (See Appendix F for address information).

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to or visiting

the most convenient social security district or branch office (see Appendix F for address information).

An individual who requests notification of, or access to, a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse on him or her. If the responsible SSA official is unable to make a determination, or makes the determination that some harm may occur to an individual, the official will send the record to the designated representative and inform the subject individual in writing that the records have been sent. A parent or guardians who requests notification of, or access to, a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who shall be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with DHHS Regulations 45 CFR, Section 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with DHHS Regulations 45 CFR, Section 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with DHHS Regulations 45 CFR, Section 5b.

Record source categories: The information contained within the Supplemental Security Record is obtained for the most part from the applicant for SSI payments and is derived from the system of records Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits (09–60–0089). The States also provide data affecting the Supplemental Security Record (State Data Exchange Files), affecting the Supplemental Security Income Record (State Data Exchange Files).

Systems exempted from certain provisions of the act: None.

09-60-0110

System name: Supplemental Security Income File of Refunds, HHS/SSA/OURV.

Security classification: None.

System location:

Office of User Requirement and Validation
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: This file contains refund records for any aged, blind, or disabled individual who was overpaid or not entitled.

Categories of records in the system: This file contains information about refunds sent in by persons who were overpaid or not entitled to Supplemental Security Income payments they received. Specific information is name of individual, social security number, date of refund, and amount of refund.

Authority for maintenance of the system: Sections 1602, 1611, and 1631 of Title XVI of the Social Security Act.

Purpose(s): This file is established after supplemental security income refunds received have been recorded and deposited in the Federal Reserve bank. The money refunded is broken into Federal share and State share for accounting purposes. The information is input to the electronic system to be matched against the same information being entered by district offices. This serves as an audit.

The information in this system is keyed directly onto tape which are kept in SSA's tape library. The tapes are used to prepare cross reference listing and to input information into the system. Manual records are used to prepare responses from inquiries from district offices.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. State audit agencies pursuant to agreements with HHS for auditing State supplementation payments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: The source document is filed in standard filing cabinets by bank deposit schedule number. The cross reference listing, in social security number sequence, by month is maintained in binders.

Retrievability: Listings are referenced by social security number.

Safeguards: The source documents and listings are kept in an area which is secured at night--doors locked.

Information is only furnished to other Social Security Administration components with limited access by employees on a need-to-know basis. The magnetic tapes are retained in secure storage areas accessible only to authorized persons within the Office of Systems. The storage area is controlled by marshalls responsible for insuring that only authorized personnel are admitted. Official identification badges or passes are required to gain entrance to the storage area. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: The source documents and listings are being held indefinitely. Eventually they will be retired to the Federal Record Center. The tapes are stored in the Social Security tape library.

System manager(s) and address:

Director
Office of User Requirement and Validation
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by providing his or her name, social security number, pertinent information about his or her case, and the name of this system to the system manager at the address shown above. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The receipt form completed by an employee in the social security district office plus the actual check, money order, etc., used to remit the money.

Systems exempted from certain provisions of the act: None.

09-60-0111

System name: Debit Voucher File (Supplemental Security Income), HHS/SSA/OURV.

Security classification: None.

System location:

Office of User Requirement and Validation
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: The file contains a record for aged, blind, or disabled individuals who have negotiated two checks for the same month incorrectly.

Categories of records in the system: The SF-1081, Voucher and Schedule of Withdrawals and Credits, is sent to the Office of Management, Budget and Personnel from the Department of Treasury billing the Social Security Administration for addition monies expended on their behalf. It contains the identification of the individual, name and social security number, and amount of money involved.

Authority for maintenance of the system: Sections 1602, 1611 and 1631 of Title XVI of the Social Security Act.

Purpose(s): This system is used to maintain photocopies of erroneously negotiated supplemental security income checks as well as copies of bounced checks which the Treasury Department sends to the Social Security Administration (SSA), which SSA district and branch files and use for future reference when they attempt to collect the money from the individual. The money amount is allocated to the Federal share and State share for accounting purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To State audit agencies pursuant to agreements with HHS for auditing State supplementation payments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File cabinets and binders.

Retrievability: Information in this system is indexed by social security number.

Safeguards: Access limited to employees on need to know basis. Area secured at night--doors locked.

Retention and disposal: The records are being held indefinitely. They will eventually be retired to the Federal Records Center.

System manager(s) and address:

Director
Office of User Requirement and Validation
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by providing his or her name, social security number, pertinent information about his or her case, and the name of this system to the system manager at the address shown above. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Bureau of Government Financial Operations of the Department of the Treasury.

Systems exempted from certain provisions of the act: None.

09-60-0117

System name: Age at First Payment of Retirement Insurance Benefit, HHS/SSA/OP.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Recently entitled retirement insurance beneficiaries.

Categories of records in the system: Payment history and demographic information.

Authority for maintenance of the system: Section 702 of the Social Security Act. (42 USC Sec. 902).

Purpose(s): Information in this system is used for statistical purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data are stored on magnetic tape.

Retrievability: Individual records are identified by claim account number for statistical uses.

Safeguards: All magnetic tapes are retained in secure storage areas accessible only to authorized persons within the Bureau of Data Processing and Data Development. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: This system is updated infrequently and magnetic tapes are returned to blank stock.

System manager(s) and address:

Deputy Chief Actuary, Short-Range Estimates
Office of the Actuary
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system manager at the address shown above and providing his or her claim account number. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested.

Record source categories: Master Beneficiary Record, 09-60-0090.

Systems exempted from certain provisions of the act: None.

09-60-0118

System name: Non-Contributory Military Service Reimbursement System, HHS/SSA/OP.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A sample of beneficiaries who have non-contributory military service credits.

Categories of records in the system: Covered earnings, benefit and payment status.

Authority for maintenance of the system: Section 217, 229, and 231 of the Social Security Act.

Purpose(s): Data in this system are used for statistical purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data are stored on magnetic tape.

Retrievability: The file is indexed with claim account numbers

Safeguards: All mag-tape files are retained in secure storage areas accessible only to authorized persons within the Office of Enumeration and Earnings Records, Office of Management, Budget and Personnel, and Office of the Actuary. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

Retention and disposal: This system is updated annually. At this time, we have no provision for the disposal of individual records.

System manager(s) and address:

Deputy Chief Actuary, Short-Range Estimates
Social Security Administration
Office of the Actuary
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system manager at the address shown above. When requesting notification, an individual should provide his or her name and claim account number. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Data in this system are derived from the Master Beneficiary Record (09-60-0090), the Claims Folders and Post-Adjudicative Record of Applicants for and Beneficiaries of Social Security Benefits (09-60-0089), and the Earnings Recording and Self-Employment System (09-60-0059).

Systems exempted from certain provisions of the act: None.

09-60-0119

System name: Special Age 72 Benefit Trust Fund Transfer Project, HHS/SSA/OP.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Includes all individuals entitled under the Prouty amendments.

Categories of records in the system: Benefit entitlement, demographic information, and earnings records.

Authority for maintenance of the system: Section 223 of the Social Security Act.

Purpose(s): The purpose of this system is to maintain information which SSA uses to determine an amount of money to be transferred from General Revenue to the Old Age and Survivors Insurance Trust Fund.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data are stored on magnetic tape.

Retrievability: Individual records are identified by claim account number.

Safeguards: All magnetic tapes are retained in secure storage areas accessible only to authorized persons within the Bureau of Data Processing and Data Development. All employees having access to records have been notified of criminal sanctions for unauthorized disclosures of information on individuals.

Retention and disposal: This system is updated periodically and magnetic tapes are eventually returned to blank stock.

System manager(s) and address:

Deputy Chief Actuary, Short-Range Estimates
Social Security Administration
Office of the Actuary
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by providing his or her claim account number to the system manager at the address shown above.

These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Master Beneficiary Record (09-60-0090) and Earnings Recording and Self-Employment Income System (09-60-0059).

Systems exempted from certain provisions of the act: None.

09-60-0120

System name: Retirement, Survivors and Disability Insurance Claims Study, HHS/SSA/OA.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Office of Assessment
Division of Program Measurement and Evaluation
6401 Security Blvd.
Baltimore, Md. 21235

Social Security Administration program servcice centers and the Office of International Policy (see Appendix A for address information).

Office of Disability Operations
Baltimore, Maryland 21241

Categories of individuals covered by the system: National stratified probability sample of individuals allowed or denied benefits, as well as those awarded lump sum death benefits, beginning November 1964 for retirement and survivors claims, May 1966 for disability claims.

Categories of records in the system: Demographic characteristics of beneficiary, description of allegations, evidence and findings, and case control data.

Authority for maintenance of the system: Section 205 of the Social Security Act.

Purpose(s): This is a study to evaluate the effectiveness of retirement, survivors, and disability insurance program policies. Data from this study are compiled for evaluative purposes, and subsequently stored in the claims folders. Adverse data received in the conduct of this study may be used to review earlier claims or post-adjudicative decisions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To third parties for verification of information given by claimants.
3. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All information is recorded on magnetic tape and claims folders are returned to program service centers.

Retrievability: Identification sequence number.

Safeguards: All folders are kept in secure areas, accessible only to Division of Program Measurement and Evaluation personnel (i.e. statisticians, analyst, and programmer).

For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Disposal of file folders is conducted in accordance with Social Security Administration guidelines for Title II claims, while magnetic tapes are held for 5 years before being erased.

System manager(s) and address:

Director
Division of Program Measurement and Evaluation
Social Security Administration
6401 Security Boulevard
Baltimore, Md. 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system manager at the address shown above. When requesting notification, an individual should provide the name of this system, social security number, and, for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in this system, the month and year in which the individual was allowed or denied benefits (retirement or disability). These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Earnings Recording and Self-Employment System (09-60-0059); Supplemental Security Income Record (09-60-0103); Claims Folders and Post-Adjudicative Records of Ap-

plicants for and Beneficiaries of Social Security Benefits (09-60-0089); and survey data collected by social security employees.

Systems exempted from certain provisions of the act: None.

09-60-0129

System name: Adjudication of Supplemental Security Income Claims Study, HHS/SSA/OA.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Office of Assessment
Division of Program Measurement and Evaluation
6401 Security Boulevard
Baltimore, Maryland 21235
Social Security Administration Program Service Centers and Office of International Policy (see Appendix for address information).

Office of Disability Operations
Baltimore, Maryland 21241

Categories of individuals covered by the system: National stratified probability sample of individual allowed or denied supplemental security income benefits since January 1975.

Categories of records in the system: Demographic characteristics of the beneficiary, description of allegations, evidence and findings, and case control data.

Authority for maintenance of the system: Sections 205 and 1631 of the Social Security Act.

Purpose(s): This is a study to evaluate the effectiveness of supplemental security income program policies. Data from this study are compiled for evaluation purposes and subsequently stored in the claims folders system (09-60-0089). Adverse data received in the conduct of this study may be used to review earlier claims or post-adjudicative decisions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To third parties for verification of informatin given by claimants.
2. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: All records are stored on magnetic tape.

Retrievability: Identification sequence number.

Safeguards: All folders are kept in secure areas, accessible only to the Division of Program Measurement and Evaluation personnel (i.e. statisticians, analyst, and programmer). For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) will be used, limiting access to authorized personnel.

Retention and disposal: Disposal of file folders is conducted in accordance with Social Security Administration guidelines for Title XVI claims, while magnetic tapes are held for 5 years before being erased.

System manager(s) and address:

Director
Office of Assessment
Division of Program Measurement and Evaluation
Social Security Administration
6401 Security Boulevard
Baltimore, Md. 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system manager at the address shown above. When requesting notification, an individual should provide the name of this system, social security number, and, for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in this system, the month and year in which the individual was allowed or denied supplemental security income payments. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Master Beneficiary Record (09-60-0090); Earnings Recording and Self-Employment Income System (09-60-0059); Supplemental Security Income Record (09-60-0103); Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits (09-60-0089) (title II and title XVI claims folders); survey data collected by social security employees.

Systems exempted from certain provisions of the act: None.

09-60-0148

System name: Matches of Internal Revenue Service and Social Security Administration Data with Census Survey Data (Joint Social Security Administration/Census Statistics Development Project), HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Bureau of the Census
Suitland, Maryland 20233

Categories of individuals covered by the system: Samples of United States civilian population and those Armed Forces personnel residing with their families as of March 1973, 1975, 1976 and subsequent periods to be determined.

Categories of records in the system: Basic demographic characteristics from Census survey-labor force, work experience and income items from the survey; Social Security Administration earnings and benefit record information; selected Internal Revenue Service tax return items.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902), and Title 13 U.S. Code, section 182 for Census participation.

Purpose(s): This data file is used as the basis of microsimulations of tax and transfer programs. These microsimulations provide policy makers with information about the costs and effects of proposed changes in the social security tax and benefit structures and in the Federal income tax program. It is also used to estimate the number of non-filers and the magnitude of the effects of noncompliance with IRS and SSA regulations. During those matching steps which occur at the Social Security Administration, identifiable data is solely under the control of a limited number of social security employees who are sworn to uphold the Census and IRS statutes as well as the confidentiality restrictions of the Social Security Administration. Similar provisions are made for the handling of identifiable data from the project at the Census Bureau. Contractors provide storage of and remote terminal access to files which do not carry identifiers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

(Through the Census Bureau) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tape.

Retrievability: Records are indexed by social security number during the matching steps at the Social Security Administration and Census but identifiers are not retained at the Social Security Administration after matching is completed.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, Part 6, ADP System Security. Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal

identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: Following the match, all identifiers are removed from the records kept at the Social Security Administration. The Census Bureau retains identifiers for possible longitudinal updating. Records with identifiers will be held in secure storage areas at the Census Bureau and will be disposed of as soon as they are determined to be no longer needed for Census or SSA analysis. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Director
Office of Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not ordinarily be interested in. Individuals inquiring about their records in SSA program should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information that may be maintained during processing stages in this system, he/she should write to the system manager (at the above address) and provide the name of this system, his/her name and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any requested records.) Also, to verify identity, he/she should provide name, address and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Except in transitory stages of preparation, files at SSA which are based on Census or Internal Revenue Service samples do not have personal identifiers, and cannot be located on an individual basis. Records with identifiers maintained at the Bureau of Census are considered by Census to be exempt from access.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Social Security Administration Master Beneficiary Record (09-60-0090); Earnings Recording and Self-Employment Income System (09-60-0059); Internal Revenue tax returns; Census surveys; Supplemental Security Income Record (09-60-0103).

Systems exempted from certain provisions of the act: None.

09-60-0149

System name: Matches of Internal Revenue Service and Social Security Administration Data (Joint Social Security Administration/Treasury Department Office of Tax Analysis, Statistics Development Project), HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Treasury Department
15th & Pennsylvania Ave., N.W. Washington, D.C. 20220

Categories of individuals covered by the system: Samples of persons by or on whose behalf Federal income or estate tax returns, or wages or self-employment earnings reports have been filed for 1970, 1972, 1975, 1977, 1979 and selected subsequent years.

Categories of records in the system: Social Security Administration demographic data; Social Security Administration earnings and benefit record information; tax return data.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902) and section 6103 of the Internal Revenue Code (26 U.S.C. 6103) for Treasury participation.

Purpose(s): These files are used to develop data bases for SSA's Office of Research and Statistics studies of economic behavior, mortality, wealth, and occupation in the context of the income maintenance system; and for micro-economic analysis of income distribution. These data bases are used by the Office of Research and Statistics jointly with the Department of the Treasury's Office of Tax Analysis without identifiers for research and statistical projects sponsored by the Office of Research and Statistics, the Office of Tax Analysis and the Internal Revenue Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. (Through the Treasury Department) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Department of the Treasury, Office of Tax Analysis, in connection with statistical studies conducted for Social Security Administration and Department of the Treasury purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored on magnetic tape.

Retrievability: Records are indexed by social security number during the searching steps at the Social Security Administration. Identifiers are retained at the Office of Tax Analysis for matching purposes which are carried out entirely at Treasury. Files without identifiers are used for statistical analysis.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, Part 6, ADP System Security. Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: Identifiable data are retained by the Social Security Administration only during the search process. Once searching is complete all computer tapes are turned over to the Treasury Department. A matched SSA Treasury file without identifiers is available to SSA and Treasury for research use. SSA does not have detailed Internal Revenue Service data with identifiers at any point in the matching process. The minimum amount of Internal Revenue Service data with identifiers needed to validate the processing is used by the Social Security Administration. Identifiers may be retained on the Treasury copies of intermediate and matched files in secure storage. The retention of these identifiers is needed exclusively for possible further matching: for example, with similar data for different years.

System manager(s) and address:

Director
Office of Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not ordinarily be interested in. Individuals inquiring about their records in SSA program should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information that may be maintained during processing stages in this system, he/she should write to the system manager (at the above address) and provide the name of this system, his/her name and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any requested records.) Also, to verify identity, he/she should provide name, address and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Except in transitory stages of preparation, files at SSA do not have personal identifiers, and cannot be located on an individual basis.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the

information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Social Security Administration Master Beneficiary Record (09-60-0059); Earnings Recording and Self-Employment Income Record (09-60-0059); and Internal Revenue Service Federal income and estate tax returns.

Systems exempted from certain provisions of the act: None.

09-60-0159

System name: Continuous Work History Sample (Statistics), HHS/SSA/OP.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: A sample of persons with social security numbers issued through the cutoff date of the file. Included are those working for the Federal government and those covered by the Railroad Retirement Act, as well as those covered under social security.

Categories of records in the system: Demographic characteristics; employer information; type of work information; earnings information; self-employment information; insured status information; benefit status; geography information (residence).

Authority for maintenance of the system: Section 702 of the Social Security Act. (42 USC Sec. 902).

Purpose(s): This system provides a one percent overview of SSA programs. With identifiers, the system is used by Office of Research and Statistics (ORS) staff in analysis and research of SSA programs, workloads, and revenue. Purged of identifiers, it has been an important resource for HHS planning and evaluation and for health research in the Health Care Financing Administration and the Public Health Services. Its wide scope and coverage of the income structure of the United States, make the data from the system useful to many agencies, including the Census Bureau and the Bureau of Economic Analysis, as a fundamental source of data.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. Department of Labor for administering provisions of Title IV of the Federal Coal Mine Health and Safety Act and for studies on the effectiveness of training programs to combat poverty;
2. To the Bureau of Census when it performs as a collecting agent or data processor for research and statistical purposes directly relating to the Social Security Act;
3. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual;
4. To a Federal or State agency (or its agent) lawfully charged with the administration of a Federal or State unemployment compensation law or contribution or tax levied in connection therewith, for the purpose of such administration but solely for use in compiling statistics to be used in aggregated or anonymous forms.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data are stored on magnetic tape.

Retrievability: The file is indexed with social security numbers.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, Part 6, ADP System Security. Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: This is a longitudinal sample. Records with identifiers will be retained as long as needed to permit addition of future earnings and other Social Security Administration program data for individuals in sample,.

System manager(s) and address:

Director, Office of Research and Statistics
Social Security Administration, Room 1121
1875 Connecticut Avenue, NW
Washington, D.C. 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not ordinarily be interested in. Individuals inquiring about their records in SSA program should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information that may be maintained during processing stages in this system, he/she should write to the system manager (at the above address) and provide the name of this system, his/her name and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any requested records.) Also, to verify identity, he/she should provide name, address and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Master Beneficiary Record (09-60-0090); Earnings Recording and Self-Employment Income System (09-60-0059); quarterly earnings items file; employer identification file; 'Notification of Personnel Action' (SF-50); Railroad Retirement Board Master File; Internal Revenue Service name and address file.

Systems exempted from certain provisions of the act: None.

09-60-0184

System name: Hearing Office Master Calendar, HHS/SSA/OHA.

Security classification: None.

System location: All Hearing Offices (See Appendix G for address information).

Categories of individuals covered by the system: Claimants - Titles II, IX, XVI, XVIII, and Black Lung.

Categories of records in the system: A list of all cases pending in the hearing office.

Authority for maintenance of the system: Sections 205, 1631(d)(1) and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): The purpose of this system is to enable the hearing office to ascertain the location of cases within the Office of Hearings and Appeals and maintain control of the pending case load.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Folders in filing cabinets.

Retrievability: Social security number.

Safeguards: Limited access to SSA offices; limited employee access to need to know. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation training.

Retention and disposal: As each case is disposed of, it is removed from the master calendar.

System manager(s) and address:

Associate Commissioner

Office of Hearings and Appeals, Room 402
3833 North Fairfax Drive
Arlington, Virginia 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by providing his or her name and social security number to the following address:

Social Security Administration
Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: From hearing office personnel and from information on incoming cases.

Systems exempted from certain provisions of the act: None.

09-60-0186

System name: SSA Litigation Tracking System, HHS/SSA/OR.

Security classification: None.

System location:

Social Security Administration
Office of Regulations
Litigation Staff
3-B-6 Operations Building
Baltimore, MD 21235

Social Security Administration
Office of Data Services
6401 Security Boulevard
Baltimore, MD 212351815

Categories of individuals covered by the system: Individuals who are involved, as plaintiffs or defendents, in civil litigation concerning one or more of the programs administered by SSA.

Categories of records in the system: Complaints filed by individuals against the Secretary, HHS. Court orders and decisions regarding cases in litigation. Also, related litigation materials.

Authority for maintenance of the system: Section 205(a) Social Security Act (42 USC 405(a)).

Purpose(s): Records maintained in this system are used by the Litigation Staff in the course of their responsibilities for formulating and coordinating responses to interrogatories and recommendations regarding the appeal of adverse court decisions. These records are also used to enable Staff to review and analyze court decisions and to direct the implementation of interim and final court orders.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in hard copy form and on magnetic tape.

Retrievability: The records are maintained alphabetically by plaintiff's name and numerically by social security number.

Safeguards: Paper files are maintained in locked file cabinets. Magnetic tape records are maintained in a secured area attended by security guards. Access to the secured area is electronically controlled and limited to those employees who have a need to enter it in the performance of their official duties. All personnel having access to the records have been informed of criminal sanctions for unauthorized disclosure of information relating to individuals.

Retention and disposal: Normally, records will be retained for two years after the expiration of the appeal period. Certain cases in which constitutional/policy issues are involved (e.g., Supreme Court cases) will be retained indefinitely by Litigation Staff. All other records will be transferred to OR Reference Room to be retained for history purposes.

System manager(s) and address:

Director
Office of Regulations
Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system manager at the address shown above. When requesting notification, an individual should provide his or her name, and for verification purposes, social security number, address, date of birth, and sex. Furnishing the social security number is voluntary, but it will make searching for an individual's record easier and avoid delay. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Systems of records maintained by SSA, namely 09-60-0089--Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits, HHS/SSA/OURV; 09-60-0090--Master Beneficiary Record, HHS/SSA/OURV; 09-60-0103-- Supplemental Security Income Record, HHS/SSA/OURV; plaintiff's complaints, court orders, court decisions and court directives.

Systems exempted from certain provisions of the act: None.

09-60-0196

System name: Disability Studies, Surveys, Records and Extracts (Statistics), HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Bureau of the Census
Washington, D.C. 20233
Jeffersonville, Indiana 47130

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Samples of persons who are present or potential recipients of SSA Disability payment/benefits, including specifically selected subsets of each category, also applicants/participants in State vocational rehabilitation programs. Samples of other persons regardless of status for purposes of comparison in the above categories.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics, attitudes, earnings and employment history, benefit information, and use of medical and rehabilitative services.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902); Title 13 of the U.S. Code, Section 182 for Census participation.

Purpose(s): The purpose of this system is to collect data by the following methods: extraction from program records (including records compiled at the State level); and through surveys which may be augmented with with program data. The SSA Office of Research and Statistics uses this data to examine the medical, economic, and social consequences of limitations in work activity for the disabled person and his/her family; for program planning and evaluation; for evaluation of proposals for policy and legislative changes; for determinations of the characteristics of program applicants and benefit recipients, etc. Within SSA, tapes which have been purged of identifiers are used by the Office of Evaluation and the Office of Disability Programs. Public use extract tapes are furnished on request by mail to public and private organizations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionnaire forms, microfilm, punch cards, magnetic tape, disc, or printouts.

Retrievability: Files are indexed by social security number or by SSA assigned case numbers. Files based on Census sample populations are indexed by Census assigned case numbers. These numbers are cross referenced at Census to social security numbers which are available only to Census employees or SSA staff who are Census special sworn employees.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, Part 6, ADP System Security. Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: Hard copy questionnaires are destroyed when survey reports are completed. Records with identifiers are held in secure storage areas and are disposed of as soon as they are determined to be no longer need for SSA analysis. Means of disposal is appropriate to the record storage medium; e.g., erasure of tapes, shredding of printouts, etc. Periodic reviews are made to determine the need for retention. In longitudinal studies, working files are purged of identifers and given randomly assigned case numbers. A separate link file is maintained in secure storage areas for updating with individual identifiers.

System manager(s) and address:

Director
Office of Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not ordinarily be interested in. Individuals inquiring about their records in SSA programs should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information in this system, he/she should write to the system manager (at the above address) and provide the name of this this system, his/her name and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any request records.) Also, to verify identity, he/she should provide name, address, and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Except in transitory stages of preparation, files at SSA which are based on Census samples do not have personal identifiers, and cannot be located on an individual basis. Records with identifiers maintained at the Bureau of Census are considered by Census to be exempt from access.

Contesting record procedures: Same as notification procedures.

Record source categories: SSA administrative records; e.g., Master Beneficiary Record (09-60-0090); Earnings Recording and Self-Employment System (09-60-0059); and Claims Folders and Post-Adjudicative Records of Applicant for and Beneficiaries of Social Security Benefits (09-60-0089) (disability case folders, etc); survey data collected by contractor; Disability Data Record (09-60-0049); case service reports of the vocational rehabilitation agencies (R-300); Office of Hearing and Appeals Record Locator; Health Insurance Master Files; SSA Administrative awards file. Bureau of the Census records may be used as a sampling frame. collected by contractor. Bureau of the Census records may be used as a sampling frame.

Systems exempted from certain provisions of the act: None.

09-60-0198

System name: Extramural Research Administrative File, HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Personnel described in research project proposals submitted for grant or contract consideration.

Categories of records in the system: Professional qualifications and other relevant information about project personnel. Direct and indirect information on individual salaries may be included.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC 902); Section 1110 of the Social Security Act (42 USC 1310).

Purpose(s): With respect to administrative and personnel information kept on extramural research contracts and grants, the purpose is to ascertain the credentials of individuals and organizations proposing to do research for SSA, and to establish and maintain surveillance over the research projects being performed for SSA. This information is available to other components of SSA and HHS for administrative analysis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the court or to a party in connection with any civil or criminal action to which the Secretary is a party or otherwise involving a program administered by the Social Security Administration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy forms, magnetic tape, disc, punch cards, or printouts, or in file cabinets.

Retrievability: Files are indexed by a Department of Health and Human Services-assigned number.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.' Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel.

Retention and disposal: Records with identifiers will be held in secure storage areas and will be disposed of as soon as they are determined to be no longer needed for analysis. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc. As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Director
Office of Research and Statistics
Social Security Administration
Universal North Bldg./Rm.1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: If an individual wishes notification of or access to information that may be contained in this system, he/she should write to the system manager (at the address above) and provide the name of the system, his/her name, social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any requested records.) Also, to verify identity, he/she should provide name, address, and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Project proposals submitted for grant or contract consideration.

Systems exempted from certain provisions of the act: None.

09-60-0199

System name: Extramural Surveys (Statistics), HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Samples of individuals who are current or potential recipients of benefits from Social Seucrity and related programs; personnel administering SSA and related programs.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics; attitudes concerning subjects such as health, work experience, and family relationships; earnings and employment history, benefits, use of medical and rehabilitative services.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902) Section 1110 of the Social Security Act (42 USC, Section 1310).

Purpose(s): The purpose of conducting extramural surveys at outside organizations for the Office of Research and Statistics is to obtain information on individuals who are current or potential recipients of benefits from social security and related programs. When the product is in the form of microdata it is available without personal identifiers to other SSA and HHS components for data processing and data manipulation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionnaire forms, microfilm, punch cards, magnetic tape, disc, or printouts.

Retrievability: Files based on SSA sample populations are indexed by SSA-assigned case numbers or social security numbers. Files based on contractor sample populations are indexed by contractor-assigned case numbers which may be cross-referenced to social security numbers.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.' Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: Hard copy questionnaires will be destroyed when survey reports are completed. Records with identifiers will be held in secure storage areas and will be retained only as long as needed for analysis. Identifiers will be removed at the earliest possible time after data collection is completed.

The need to retain identifiers will be evaluated at the time each survey is completed. Records with identifiers will be disposed of as soon as they are determined to be no longer needed. Means of disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc.

As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention. In longitudinal studies, working files are stripped of identifiers and given randomly assigned case numbers. A separate link file will be maintained in secure storage for updating with individual identifiers.

System manager(s) and address:

Director
Office of Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not ordinarily be interested in. Individuals inquiring about their records in SSA programs should should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information in this system, he/she should write to the system manager (at the above address) and provide the name of this this system, his/her name and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any requested records.) Also, to verify identity, he/she should provide name, address, and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Survey data obtained by the contractor; SSA administrative records.

Systems exempted from certain provisions of the act: None.

09-60-0200

System name: Retirement and Survivors Studies, Surveys, Records and Extracts (Statistics), HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
Office of Systems
6401 Security Blvd.
Baltimore, Maryland 21235

Bureau of the Census
Washington, D.C. 20233
Jeffersonville, Indiana 47130

Social Security Administration
Office of Research and Statistics
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Datacrown/SDL
770 Brookfield Road
Ottawa, Ontario
K1B 6J5

Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Sample groups of adults or children who are current, past or potential recipients of social security payments, or pension or survivor benefits from public or private sources; and samples of of other persons or families regardless of recipient or benefit status for purposes of comparison with persons or families in the above categories.

Categories of records in the system: Socio-economic, demographic, medical, insurance, welfare, attitudes, earnings, employment, and benefits.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902); Section 182, Title 13 of the U.S. Code for Census participation.

Purpose(s): The purpose of this system is to collect data by the following methods: extraction from program records (including records compiled at the State level); and through surveys which may be augmented with program data. The statistical aggregated data provided by this system is used for program planning and evaluation purposes. Systems data typically exist with identifiers removed and are available to other SSA and HHS components for similar program analysis purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the prformance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionnaire forms, microfilm, punch cards, magnetic tape, disc, or printouts.

Retrievability: Files are indexed by social security number or by SSA assigned case numbers. Files based on Census sample populations are indexed by Census assigned case numbers. These numbers are cross referenced at Census to social security numbers which are available only to Census employees or SSA staff who are Census special sworn employees.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.' Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: Hard copy questionnaires are destroyed when survey reports are completed. Records with identifiers are held in secure storage areas and are retained only as long as needed for SSA analysis. Identifiers are removed at the earliest possible time, after data collected is completed. Records with identifiers are disposed of as soon as they are detrmined to be no longer needed. Means of disposal are appropriate to the record medium, e.g., erasure of tapes, shredding of printouts, etc.

System manager(s) and address:

Director
Office of Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not ordinarily be interested in. Individuals inquiring about their records in SSA programs should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information in this system, he/she should write to the system manager (at the above address) and provide the name of this this system, his/her naime and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any request records.) Also, to verify identity, he/she should provide name, address, and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Except in transitory stages of preparation, files at SSA which are based on Census samples do not have personal identifiers, and cannot be located on an individual basis. Records with identifiers maintained at the Bureau of Census are considered by Census to be exempt from access.

Contesting record procedures: Same as notification procedures. Also, individuals should reasonable identify the record contents they are contesting.

Record source categories: Records in this system are derived from: SSA administrative records (e.g., the Master Beneficiary Record (09-60-0090); the Earnings Recording and Self-Employment Income System (09-60-0059); survey data collected by contractor. Bureau of the Census records may be used as a sampling frame.

Systems exempted from certain provisions of the act: None.

09-60-0202

System name: Old Age, Survivors and Disability Beneficiary and Worker Records and Extracts (Statistics), HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Datacrown/SDL
770 Brookfield Road
Ottawa, Ontario
K1B 6J5
Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Groups of applicants for and recipients of social security old age, survivors, disability and black lung benefits; persons with taxable earnings; persons issued social security numbers. Most files are samples of selected subgroups.

Categories of records in the system: Socio-economic, demographic, medical and disability characteristics, earnings, employment history, benefits, and use of medical and rehabilitative services.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902).

Purpose(s): The purpose of this system is to obtain research and statistical information about social security beneficiaries for use in various research and publication projects. Transfers to other components of HHS are made in summary form or with all identifiers suppressed. Transfers within the Office of Research and Statistics are the only transfers that include identifiers, except for a routine use.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy forms, magnetic tape, microfilm, disc, punch cards, or printouts.

Retrievability: Files are indexed by social security number.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.' Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: Records with identifiers will be held in secure storage areas and will be disposed of as soon as they are determined to be no longer needed for SSA analysis. Means of

disposal will be appropriate to the record storage medium, e.g., erasure of tapes, shredding of printouts, etc.

As long as identifiable records exist, a periodic review will be made at least every two years to determine the need for their retention.

System manager(s) and address:

Director
Office of Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not ordinarily be interested in. Individuals inquiring about their records in SSA programs should should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information in this system, he/she should write to the system manager (at the above address) and provide the name of this this system, his/her name and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any request records.) Also, to verify identity, he/she should provide name, address, and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Master Beneficiary Record (09-60-0090); Earnings Recording and Self-Employment Income System (09-60-0059) and other SSA records related to earnings and applications for, or payment of benefits. For selected employers, lists of persons working in covered employment.

Systems exempted from certain provisions of the act: None.

09-60-0203

System name: Supplementary Security Income (SSI) Studies, Surveys, Records and Extracts (Statistics), HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
6401 Security Blvd.
Baltimore, Maryland 21235

Social Security Administration
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Bureau of the Census
Washington, D.C. 20233
Jeffersonville, Indiana 47130

Datacrown/SDL
770 Brookfield Road
Ottawa, Ontario
K1B 6J5
Contractor sites: Addresses may be obtained by writing to the system manager (see below)

Categories of individuals covered by the system: Sample groups of persons and families receiving or potentially eligible to receive welfare assistance under the SSI and related Federal/State welfare programs, including Aid to Families with Dependent Children, General Assistance, Emergency Assistance and Food Stamps; samples of specially selected subsets of persons from the above programs; other persons or families, regardless of SSI or poverty status, for use within the same system of records for comparison purposes with persons or families in the above categories; Federal/State personnel responsible for the administration of SSI and related welfare programs.

Categories of records in the system: Basic demographic characteristics; medical and disability information; socio-economic information; living conditions; attitudes; earnings and employment history, benefits; use of medical and rehabilitative services; participation in and benefits received under SSI and related Federal/State welfare programs.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 USC, Section 902); Title 13 of the U.S. Code, section 182 for Census participation.

Purpose(s): The purpose of this system is to collect data by the following methods: extraction from program records (including records compiled at the State level); and through surveys which may be augmented with program information. Basic data on SSI recipients and others are collected, analyzed and published by the SSA Office of Research and Statistics for program planning and evaluation purposes. Such information is then used in the budget process for legislative change and as a basis for studying the effectiveness of the SSI and related welfare programs in meeting the need of the target population served. Currently, access to microdata files with identifierr comprised of data from within this system is limited to Office of Research and Statistics researchers. Other components of HHS receive summary data or microdata without identifiers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To contractor under contract to the Social Security Administration (SSA), or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionnaire forms, microfilm, punch cards, magnetic tape, disc, or printouts.

Retrievability: Files are indexed by social security number or by SSA assigned case numbers. Files based on Census sample populations are cross referenced at Census to social security numbers which are available only to Census employees or SSA staff who are Census special sworn employees.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.' Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: Hard copy questionnaires will be destroyed when survey reports are completed. Records with identifiers will be held in secure storage areas and will be disposed of as soon as they are determined to be no longer needed for SSA analysis. Means of disposal are appropriate to the storage medium; e.g., erasure of tapes, shredding of printouts, etcs.

System manager(s) and address:

Director
Office of Research and Statistics
Social Security Administration
Universal North Building/Room 1121
1875 Connecticut Avenue, N.W.
Washington, D.C. 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not ordinarily be interested in. Individuals inquiring about their records in SSA programs should should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information in this system, he/she should write to the system manager (at the above address) and provide the name of this this system, his/her name and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any request records.) Also, to verify identity, he/she should provide name, address, and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Except in transitory stages of preparation, files at SSA which are based on Census samples do not have personal identifiers, and cannot be locat-

ed on an individual basis. Records with identifiers maintained at the Bureau of Census are considered by Census to be exempt from access.

Contesting record procedures: Same as notification procedures.

Record source categories: Records in this system are derived from the Supplemental Security Income Record (09-60-0103); SSI applications; the Master Beneficiary (09-60-0090); the Earnings Recording and Self-Employment Income System (09-60-0059); the Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits System (09-60-0089) (disability case folders); program records of other Federal/State welfare programs; and/or survey data collected by contractor; the Disability Data Record (09-60-0049); health insurance master file and related files of the HHS Health Care Financing Administration and other SSA administrative records; and case service reports of the vocational rehabilitation agencies. Bureau of Census records may be used as a sampling frame.

Systems exempted from certain provisions of the act: None.

09-60-0206

System name: Repatriate Records System, HHS/SSA/OFA.

Security classification: None.

System location:

Social Security Administration
Office of Family Assistance
Special Programs Staff
Repatriate Program
2100 2nd Street, S.W. Room B320I
Washington, D.C. 20201

Categories of individuals covered by the system: U. S. Citizens and their dependents returned from foreign countries by the Department of State because of mental or physical illness, destitution, war, threat or war or international crisis.

Categories of records in the system: Identifying data such as name, date and place of birth, social security number, resources, employment, eligibility for other Federal, State or local programs and related data. Other categories include State and Regional reports, correspondence and accounting data, fun accounting data, educational data, and employment records and skills, financial reports, military service and civil and/or criminal records.

Authority for maintenance of the system: Public Law 86-571, Public Law 87-64 (Title XI of the Social Security Act, Section 1113).

Purpose(s): This system provides a basis for the expenditure of Federal funds. Information is used for the administration of the repatriate program, by HHS regional staff, State and local health and welfare agencies, and other private and public agencies as required.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deem desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in individual case folders by program office. Records are indexed by name and stored in locked metal cabinets. Files are confidential.

Retrievability: Records are indexed by name and are maintained in alphabetical order.

Safeguards: Files are stored in metal cabinets with lock and key. Files are of a confidential nature and other personnel would not normally have access to their contents.

Retention and disposal: The policy is to maintain records for one year after closure transfer them to the Federal Records Center in Suitland, Maryland. Records are maintained for five years by the Federal Records Center prior to destruction. Some records are maintained in the active files for considerably longer periods.

System manager(s) and address:

Chief, U.S. Repatriate Program
Special Programs Staff, OFA, SSA, HHS
2100 2nd Street, S.W., Room B320H
Washington, D.C. 20024

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the official at the address under system manager above. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information is secured from the individual or his relative and submitted to HHS by the Department of State.

Systems exempted from certain provisions of the act: None.

09-60-0208

System name: Program Integrity Case Control System, HHS/SSA/OA.

Security classification: None.

System location:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: All individuals suspected of criminal violations involving the supplemental security income (SSI) program.

Categories of records in the system: Information about the supplemental security income recipient, supplemental security income suspect, program integrity case development and information about the violation aspects of the case. Sections 1631(D)(2) and 1632 of the Social Security Act and 18 U.S.C.

Purpose(s): Information in this system is routinely used by Division of Program Integrity staff (1) to monitor the progress of development of individual suspected fraud cases to insure timely resolution; and (2) for statistical analysis purposes to identify (a) types of cases which occur with such frequency as to suggest the need for revision of policies and procedures relative to establishing eligibility for payments and (b) trends and averages with respect to the processing time of such cases and their disposition under the Federal judicial system.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deem desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and paper listings.

Retrievability: The Record of each individual is retrieved either by social security number, name, or case identification number. Information in this system is routinely used by Division of Program Integrity staff (1) to monitor the progress of development of individual suspected fraud cases to insure timely resolution and (2) for statistical analysis purposes to identify (a) types of cases which occur with such frequency as to suggest the need for revision of policies and procedures relative to establishing eligibility for payments and (b) trends

and averages with respect to the processing time of such cases and their disposition under the Federal judicial system.

Safeguards: All data is encrypted on magnetic tapes. These tapes are retained in secure storage areas accessible only to authorized persons within the Office of Systems. The storage area is controlled by marshalls responsible for insuring that only authorized personnel are permitted. Official identification badges or passes are required to gain entrance to the storage area. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals. Paper listings are locked in a secured area.

Retention and disposal: Indefinite retention for magnetic tapes. A procedure is available to select and delete any case that is deemed irrelevant. Paper listings are shredded when no longer needed.

System manager(s) and address:

Director, Division of Program Integrity
Office of Assessment
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the system manager at the address shown above. When requesting notification, an individual should provide his or her name, social security number, or card identification number as identifying information. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information is provided by supplemental security income applicants, informants, Social Security Administration offices and other Federal, titles II and or XVI, State, or municipal agencies, by letter, telephone or in person.

Systems exempted from certain provisions of the act: None.

09-60-0209

System name: Readership Surveys of Office of Research and Statistics (ORS) Publications (statistics), HHS/SSA/OP.

Security classification: None.

System location:

Social Security Administration
1875 Connecticut Ave NW
Washington, DC 20009
Social Security Administration
6401 Security Blvd
Baltimore, MD 21235
and

Contractor sites: addresses may be obtained by writing to the system manager (see below).

Categories of individuals covered by the system: Groups of readers and potential readers of ORS publications

Categories of records in the system: Type of access to publications, frequency and extent of use, relevance of publications to job and professional interests, socioeconomic and demographic characteristics, attitudes.

Authority for maintenance of the system: Section 702 of the Social Security Act (42 U.S.C.,Section 902).

Purpose(s): The purpose of this system is to provide information about continued public use and reader interest as a measure of need for continued funding of publications programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below: the record

1. To a congressional office from of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To a contractor under contract to the Social Security Administration (SSA) or under contract to another agency with funds provided by SSA, for the performance of research and statistical activities directly related to the Social Security Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Data may be stored on hard copy questionaire forms, microfilm, punchcards, magnetic tape, disc, or printouts.

Retrievability: files based on lists of readers are indexed by name and/or by social security number or contractor-assigned case numbers.

Safeguards: Safeguards are established in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.' Employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Magnetic tapes or other files with personal identifiers, are retained in secured storage areas accessible only to authorized personnel. Microdata files prepared for purposes of research and analysis are purged of personal identifiers and are subject to procedural safeguards to assure anonymity.

Retention and disposal: hard copy questionaires will be destroyed when survey reports are completed. Records with identifiers will be held in secure storage areas and will be retained only as long as needed for SSA analysis. Identifiers will be removed at the earliest possible time after data collection is completed.

The need to retain identifiers will be evaluated at the time each survey is completed. Records with identifiers will be disposed of as soon as they are determined to be no longer needed.. Means of disposal will be appropriate to the record storage medium: e.g., erasure of tapes, shredding of printouts, etc.

As long as identifible records exist, a periodic review will be made at least every 2 years to determine the need for their retention. In longitudinal studies, working files are stripped of identifiers maintained in secure storage for updating with individual identifiers.

System manager(s) and address:

Director Office of Research and Statistics
Social Security Administration
Universal North Building, room 1121
1875 Connecticut Avenue NW Washington, DC 20009

Notification procedure: This system contains limited data selected for statistical analysis which individuals would not normally be interested in. Individuals inquiring about their records in SSA programs should consult other SSA systems of records which contain more detailed information. However, if an individual wishes notification of or access to information in this system, he/she should write to the system manager (at the above address) and provide the name of this this system, his/her name and social security number (disclosure of the social security number is voluntary) and a description of the information being sought. (If an individual is unable or unwilling to provide his/her social security number, he/she should provide both parents names and date and place of birth to enable us to attempt to locate any requested records.) Also, to verify identity, he/she should provide name, address, and date of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures.

Contesting record procedures: Same as notification procedures.

Record source categories: Mailing lists maintained by ORS and by the Government Printing Office and survey data collected by SSA or contractor.

Systems exempted from certain provisions of the act: None

09-60-0210

System name: Record of Individuals Authorized Entry to Secured Automated Data Processing (ADP) Area, HHS/SSA/OS.

Security classification: None.

System location:

Office of Systems
Computer Center Building
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Those individuals with a legitimate need who are authorized entry to the secured ADP area.

Categories of records in the system: This system contains the name, badge number, identity of employer, access level, a unique five-digit identifying number, and a nine-digit number which is either the social security number or driver's license number for each individual authorized to enter the secured ADP area.

Authority for maintenance of the system: 5 U.S.C. 552a(e)(10).

Purpose(s): SSA uses records in this system to restrict access to the secured electronic data processing area. SSA also uses data in this system for management information purposes when necessary to ensure the security of the electronic data processing area.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deem desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: SSA stores records in this system on magnetic disk and paper form.

Retrievability: SSA retrieves magnetic disk records by name, badge number and the unique five-digit identifying number and paper records records alphabetically by name.

Safeguards: SSA maintsins computerized records in a highly secured room within the secured area and hard copy records in a locked room. Only authorized ADP personnel and the Director, Office of Systems Operations (or his/her authorized representative) have access to these records. SSA has established system security for this system in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.'

Retention and disposal: SSA retains records in this system for the duration of an individual's authority to enter the secured area. When an individual is no longer authorized, SSA deletes information from magnetic disk and destroys paper records by shredding.

System manager(s) and address:

Associate Commissioner
Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the individual specified under system manager above. When requesting notification, an individual should provide his or her social security number, name, signature, or other personal identification and refer to this system. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: SSA obtains information in this system from the individuals who are covered by the system.

Systems exempted from certain provisions of the act: None.

09-60-0212

System name: Supplemental Security Income Operational Quality Maintenance System, HHS/SSA/OA.

Security classification: None.

System location: Each Supplemental Security Income Analysis Branch (SSIAB) one of which is located in each of the 10 SSA Field Assessment Offices (FAO's) at Central Office in Baltimore, Maryland. See Appendix M for address information.

Categories of individuals covered by the system: Applicants for and recipients of supplemental security income (SSI) payments.

Categories of records in the system: Applicant's or recipient's name, social security number, date application or action is processed, payment status, type of case, and, if a deficiency is found, the type and source of the error.

Authority for maintenance of the system: Sections 702 and 1631 of the Social Security Act.

Purpose(s): SSA regional management uses data derived from this system to measure and rank the quality of their field offices' performance, to identify policies and procedures that are being improperly interpreted and to identify training needs. These purposes are served on a national basis through analysis of the data by the SSA Office of Assessment at central office in Baltimore, Maryland.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be disclosed as indicated below:

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are stored in file folders, disk cartridges and on cassette tapes.

Retrievability: Where necessary, records are retrieved by social security number.

Safeguards: Claims review data input forms are stored in locked file cabinets. Automated records are maintained in accordance with the HHS ADP System Manual, "Part 6, ADP System Security." This includes maintaining the records in an enclosure attended by security guards and limiting access to the records to authorized personnel who have a need for them in the performance of their official duties.

Retention and disposal: Paper records are retained for 6 months and then destroyed by shredding. Disk cartridges and cassette tapes are retained for 12 months and then erased.

System manager(s) and address:

Director
Division of Assistance and Records Operations Quality
Office of Assessment
P.O. Box 17040
Baltimore, Maryland 21235

Notification procedure: Individuals may request notification of or access to records in this system by writing to the system manager at the above address or writing to the Field Assessment Officers listed in Appendix M. When requesting notification or access, individuals should provide their names and social security numbers (on a voluntary basis). If an individual is unable or unwilling to provide his/her social security number, we will require additional information in lieu of the number to aid in our efforts to attempt to locate requested records, e.g., date and place of birth and parents names. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Also, the individual should reasonably specify the information he/she is accessing. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Also, the individual should reasonably specify the information he/she is contesting. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: Information in this system is derived from an existing system maintained by SSA, the Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits, HHS/SSA/OOPP, 09-60-0089, and from review findings and analyses.

Systems exempted from certain provisions of the act: None.

09-60-0213

System name: Quality Review of Hearing Process, HHS/SSA/OHA.

Security classification: None

System location:

Office of Hearings and Appeals
3833 North Fairfax Drive
Arlington, Virginia 22203

Computer data is stored on tape at:

Office of Systems
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Claimants/Applicants for social security and black lung benefits and supplemental security income payments; Administrative Law Judges.

Categories of records in the system: Social security number, name of claimant, claim type, hearing type, administrative law judge code, case processing locations and dates, administrative law judge and Appeals Council actions, claimant demographic and diagnostic information, aspects of case handling, identifiers which determine to what sample the case belongs.

Authority for maintenance of the system: Sections 205(a) and (b), 221(c), 702, 1631(d)(1), and 1872 of the Social Security Act, as amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

Purpose(s): SSA uses this system to analyze the handling of cases at the hearing level and in the preparation of studies and reports in order to improve the hearing process.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deem desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.
3. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and disks, paper and card records.

Retrievability: By social security number or name of the claimant/applicant; by administrative law judge code.

Safeguards: SSA maintains system security for this system in accordance with the HHS ADP System Manual, "Part 6, ADP System Security." SSA employees are able to access data elements only on a 'need-to-know' basis. SSA maintains magnetic tape and disk records in an enclosure attended by security guards. Anyone eentering or leaving the area must have a special badge which is issued only to personnel authorized to enter the area.

Retention and disposal: SSA maintuins automated records for a period of 10 years and then erases them. Retention period for the paper and card records (including source documents) are:

1. Cases with no defects - 6 month after we issue the quarterly report;
2. Cases with nonserious defects, and/or involving protests by SSA components - 18 months after we issue the quarterly report; and
3. Cases with serious defects, and/or involving protests by SSA components - 5 years after we issue the quarterly report.

SSA destroys the paper records by shredding when no longer needed.

System manager(s) and address:

Associate Commissioner
Office of Hearings and Appeals
3833 North Fairfax Drive
Arlington, Drive 22203

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by writing to the following address:

Director
Division of Appraisal
Office of Hearings and Appeals
3833 North Fairfax Drive
Arlington, Virginia 22203

An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. However, SSA will grant direct access to a subject individual if the responsible SSA official determines that direct access is not likely to have an adverse on him or her. If the responsible SSA official is unable to make a determination, or makes the determination some harm may occur to an individual, the official will sent the record to the designated representative and inform the subject individual in writing that the records have sent.

A parent or guardian who requests notification of, or access to, a minor's medical record shall, at the time he or she makes the request, designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. In requesting access, it would be helpful if an individual furnished his or her social security number (SSN), which is the only unique identifier for each record. However, disclosure of the SSN is voluntary on the part of an individual and if he or she is unable or unwilling to supply the SSN, SSA will request the following information in lieu of the SSN: claimant's name and date of birth, name of the Administrative Law Judge who issued the disposition or the location of the Administrative Law Judge's hearing office, and the date and type of disposition rendered by the Administrative Law Judge.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: The main source of data in this system is information in the system of records entitled Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits (09-60-0089). Another source of data is information furnished by claimants/applicants under the retirement, survivors, and disability insurance programs, the supplemental security income program, the black lung program, representatives of such individuals, (where appropriate), social security offices, and other Federal, State, and local agencies. Data also comes from private sources.

Systems exempted from certain provisions of the act: None.

09-60-0214

System name: Personal Identification Number File (PINFile) HHS/SSA/OA.

Security classification: None

System location:

Social Security Administration
6401 Security Boulevard
Baltimore, Maryland 21235

Categories of individuals covered by the system: Social Security Administration (SSA) employees, some Disability Determination Services (DDS) employees, and Health Care Financing Administration (HFCA) employees.

Categories of records in the system: Timekeeper number, name of employee (first 3 letters of last name), social security number, personal identification number for validation purposes, function code and access profile information.

Authority for maintenance of the system: Section 205(a) of the Social Security Act and 5 U.S.C. 552a(e)(10).

Purpose(s): SSA uses the PinFile to limit access to computer based SSA information resources to specific individuals and to specific transactions. Its purpose is to minimize the risk of unauthorized access to SSA's files of personal data.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry made at the request of that individual.
2. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines

that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deem desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: SSA maintains records in the PINFile on magnetic disk as part of the data communication system. The disk file is written to tape daily for backup purposes.

Retrievability: SSA retrieves records from the PINFile by name, social security number, personal identification number, and timekeeper number.

Safeguards: Steps to minimize the unauthorized use of the PINFile include: (1) limiting access to data on file to regional and security officers and the SSA component systems security officers and (2) monitoring additions, deletions, and changes to the PINFile through daily reports, and (3) data base management system file protection routines.

Retention and disposal: Disk files are permanent; magnetic tape backup file maintained 7 operational days and then erased.

System manager(s) and address:

SSA Systems Security Officer
Social Security Administration
6401 Security Boulevard
Room 1-Q-25 Operations Building
Baltimore, Maryland 21235

Notification procedure: An individual can determine if this system contains a record pertaining to him or her writing to the system manager at the address shown above and provide his or her personal identification number, and a description of the records he or she seeks. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Contesting record procedures: Same as notification procedures. Requesters should also reasonably identify the record and specify the information to be contested. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record source categories: SSA obtains information in the PINFile from the individuals, their supervisors, and from SSA time and attendance files.

Systems exempted from certain provisions of the act: None.

09-60-0216

System name: Indochina Refugee, Refugee Financial Assistance System, HHS/SSA/ORR.

Security classification: None.

System location:

Office of Refugee Resettlement
Room 1229 Switzer Building
330 C Street, S. W.
Washington, D.C. 20201

Department of State
R/POAR SA-2, Room 500
515 22nd Street, N.W.
Washington, D.C. 20520

Red Cross Refugee Locator Service
4th Floor
19th and D Streets, N.W.
Washington, D.C.

Categories of individuals covered by the system: Individuals who are refugees from Indochina as defined in the authorizing legislation.

Categories of records in the system: Names of refugees, ID numbers, INS alien number, age, sex, english-speaking capability, marital and family status, education, occupational skills, health status, and administrative data (e.g., arrival date, voluniary resettlement agency, destination), and HHS refugee financial assistance data.

Authority for maintenance of the system: The Refugee Act of 1980 (Public Law 96-212).

Purpose(s): Information in this system is used by the SSA Office of Refugee Resettlement to administer the refugee program, including the development of statistical and other studies to facilitate program and policy analysis, evaluation, legislative recommendations, and to meet statutory reporting requirements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. In the event that this system of records indicates a violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether Federal, foreign, State or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule regulation or order issued pursuant thereto.
3. In the event HHS/SSA deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.
4. A record from this system of records may be disclosed as a routine use to a Federal, State or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.
5. A record from this system of records may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.
6. Where Federal agencies having the power to subpoena other Federal agencies' records, such as the Internal Revenue Code or the Civil Rights Commission, issue a subpoena to HHS/SSA for records in this system of records, HHS/SSA will make such records available.
7. Where the appropriate official of HHS/SSA, pursuant to the HHS Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.
8. Disclosure may be made to a contractor for the purpose of collating, analyzing, aggregating or otherwise refining records in this system of records. (The contractor shall be required to maintain Privacy Act safeguards with respect to such records.)
9. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deem desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Records are maintained in electromagnetic form (disk and tape) and in hard copy form.

Retrievability: Records concerning refugees are indexed by A (alien) number.

Safeguards: Hardcopy records are maintained in limited access space. Direct access to computer records is restricted to authorized operating personnel. Safeguards are established in accordance with the HHS ADP System Manual, "Part 6, ADP System Security."

Retention and disposal: We maintain automated records for 10 years from date of creation, then offer them to National Archives. Printed records will be destroyed when updated information is received.

System manager(s) and address:

Director
Office of Refugee Resettlement
Social Security Administration
Room 1229 Switzer Building
300 C Street, S.W.
Washington, D.C. 20201

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address above and providing his or her alien number and year of birth. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters also should reasonably specify the record contents being sought.

Contesting record procedures: Same as notification procedures. Requesters also should identify the record and specify the information they are contesting.

Record source categories: Information is obtained from the Department of State, the Intergovernmental Committee for Migration, national voluntary resettlement agencies, the Inter-Agency Task Force (through December 31, 1975), State welfare agencies, the Immigration and Naturalization Service, the Center for Disease Control and the American Council for voluntary agencies.

Systems exempted from certain provisions of the act: None.

09-60-0217

System name: Cuban Refugee Registration Records, HHS/SSA/ORR.

Security classification: None.

System location:

Office of Refugee Registration - Miami
747 Ponce de Leon Boulevard
Miami, Florida 33134

Categories of individuals covered by the system: Cuban refugees who, on their own initiative, have registered at the Cuban Refugee Emergency Center in order to qualify for Federal benefits under the Cuban Refugee Program. (Registration is not required.)

Categories of records in the system: Name, names of family members, dates and places of birth, occupation and related data.

Authority for maintenance of the system: The Refugee Act of 1980 (Public Law 96-212).

Purpose(s): Information in this system is used by the SSA Office of Refugee Resettlement to administer the refugee program, including the development of statistical and other studies to facilitate program and policy analysis, evaluation, legislative recommendations, and to meet statutory reporting requirements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Disclosure may be made as indicated below:

1. To voluntary resettlement agencies working under contract with the Federal Government in connection with possible resettlement of refugees from Miami to other locations.
2. To the Florida Division of Family Services to verify eligibility of refugee to apply for Cuban refugee assistance.
3. To State welfare, health or social services agencies to verify eligibility under the Cuban Refugee Program and to enable the State to claim Federal reimbursement for assistance provided.
4. To Federal law enforcement and security agencies, including the Federal Bureau of Investigation and the Immigration and Naturalization Service, when requested.
5. To Courts, when requested.
6. For statistical research and reporting, provided the record will be used solely as a statistical research or reporting record and is to be transferred in a form that is not individually identifiable.
7. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
8. In the event of litigation where the defendant is (a) the Department of Health and Human Services (HHS), any component of HHS, or any employee of HHS in his or her official capacity; (b) the United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or (c) any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee, HHS may disclose such records as it deem desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and punch cards.

Retrievability: Name, Center file number and alien number.

Safeguards: Locked areas, accessible only by record and data processing personnel to record areas, or accompanied by such personnel; guard service during non-office hours. Safeguards are established in accordance with the HHS ADP System Manual, 'Part 6, ADP System Security.'

Retention and disposal: Records are maintained for the duration of the program.

System manager(s) and address:

Director
Miami Operations
Cuban Refugee Program
P.O. Box 340188
Miami, Florida 33134

Notification procedure: An individual can determine if this system contains a record pertaining to him or her by contacting the system manager at the address above and provide his or her alien number. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

Record access procedures: Same as notification procedures. Requesters also should reasonably specify the records contents they are seeking.

Contesting record procedures: Same as notification procedures. Requesters also should reasonably identify the record and identify the information they are contesting.

Record source categories: Information is derived from the individual who is the subject of record.

Systems exempted from certain provisions of the act: None.

APPENDIX A Retirement and Survivors Insurance Claims

1. Determining Appropriate Office to Contact

Records relating to retirement and survivor insurance claims are maintained primarily in six program service centers across the country. The responsibility for the payment of benefits and the maintenance of records is assigned to each office according to the first three digits of the social security number.

However, if the only individual entitled to survivor's monthly benefits on one claim number is also entitled to a retirement benefit on another claim number, the office which is assigned the responsibility for the retirement benefit claim also handles the survivor claim. If the only individual on the record is entitled to a survivor benefit which has been reduced because the survivor is under age 65, and the individual is also entitled to a disability benefit (which is higher), on another record, the Office of Disability Operations certifies the payments and maintains both records (see Appendix B). The Office of Disability Operations is also responsible for payment certification and record maintenance if the only survivor on a record is entitled as a childhood disability beneficiary and the survivor is also entitled to a disability benefit on another record.

In addition, when one of the individuals in the record resides outside the United States or its possessions, the responsibility for payment certification and record maintenance is assigned to the Office of International Policy without reference to the social security claim number or the type of benefit. Individuals should contact the following address:

Office of International Policy
Social Security Administration
P.O. Box 1756
6401 Security Boulevard
Baltimore, Maryland 21203

With the exceptions noted above, the appropriate program service center to contact can be determined by checking the first three (left side) digits of the social security number and comparing to the chart below. For example, if the first three digits are 076, the appropriate program service center to contact will be the Northeastern Program Service Center; similarly, if the first three digits were 437, the appropriate office would be Mid-America Program Service Center, and if they are 728, the appropriate office would be the Great Lakes Program Service Center.

If the first three digits fall within the range of:

001 - 134 contact the Northeastern Program Service Center;
135 - 222 the Mid-Atlantic Program Service Center;
223 - 231 the Southeastern Program Service Center;
232 - 236 the Mid-Atlantic Program Service Center;
237 - 267 the Southeastern Program Service Center;
268 - 302 the Great Lakes Program Service Center;
303 - 315 the Mid-America Program Service Center;
316 - 399 the Great Lakes Program Service Center;
400 - 428 the Southeastern Program Service Center;
429 - 500 the Mid-America Program Service Center;
501 - 504 the Western Program Service Center;
505 - 515 the Mid-America Program Service Center;
516 - 524 the Western Program Service Center;
525 the Mid-America Program Service Center;
526 - 576 the Western Program Service Center;
577 - 584 the Mid-Atlantic Program Service Center;
585 the Mid-America Program Service Center;
586 the Western Program Service Center;
587 the Southeastern Program Service Center; or
700 - 729 the Great Lakes Program Service Center.

2. Office Addresses

Director
Northeastern Program Service Center
96-05 Horace Harding Expressway
Flushing, New York 11368

Director
Mid-Atlantic Program Service Center
300 Spring Garden Street
Philadelphia, Pennsylvania 19123

Director
Southeastern Program Service Center
2001 Twelfth Avenue, North
Birmingham, Alabama 35285

Director
Great Lakes Program Service Center
600 West Madison
Chicago, Illinois 60606

Director
Mid-America Program Service Center
601 East Twelfth Street
Kansas City, Missouri 64106

Director
Western Program Service Center
1221 Nevin Avenue
Richmond, California 94802

Director
Office of Central Operations
P.O. Box 1756
Baltimore, Maryland 21203

3. Office Hours

Northeastern Program Service Center - 7:00 - 5:30
Mid-Atlantic Program Service Center - 7:00 - 5:30
Southeastern Program Service Center - 7:00 - 5:00
Great Lakes Program Service Center - 7:00 - 5:30
Mid-America Program Service Center - 7:00 - 5:00
Western Program Service Center - 6:45 - 4:30
Office of Central Operations - 7:00 - 5:30

Appendix B Disability Insurance Claims

1. Central Reviewing Office Address

Records relating to claims for disability insurance are maintained primarily by the:

Office of Disability Operations
Baltimore, Maryland 21241
Office Hours are: 8:20-4:50

When the disabled individual is age 62 or older, the claims record generally is maintained in a program service center (see Appendix A for address information).

When one of the individuals in the claim resides outside of the United States, or its possessions, the record is maintained by the Office of International Policy, P. O. Box 1756, Baltimore, Maryland 21203.

2. Assistant Regional Commissioner, Programs, Addresses and Office Hours

Assistant Regional Commissioner, Programs
HHS, SSA, Room 1200
JFK Federal Building
Boston, Massachusetts 02203

Office Hours 8:30-5:00

Assistant Regional Commissioner, Programs
HHS, SSA
Federal Bldg., Room 4008, 26 Federal Plaza
New York, New York 10038

Office Hours 8:30-5:00

Assistant Regional Commissioner, Programs
HHS, SSA
P.O. Box 8788
Philadelphia, Pennsylvania 19108

Office Hours 8:30-5:00

Assistant Regional Commissioner, Programs
HHS, SSA
101 Marietta Tower, Suite 2001
P.O. Box 1684
Atlanta, Georgia 30323

Office Hours 8:30-4:30

Assistant Regional Commissioner, Programs
HHS, SSA
300 South Wacker Drive, 30th Floor
Chicago, Illinois 60606

Office Hours 8:15-4:45

Assistant Regional Commissioner, Programs
HHS, SSA
Room 436, Federal Bldg.
601 East 12th Street
Kansas City, Missouri 64106

Office Hours 8:00-4:30

Assistant Regional Commissioner, Programs
HHS, SSA
1200 Main Tower Bldg.
Room 2140
Dallas, Texas 75202

Office Hours 8:00-4:30

Assistant Regional Commissioner, Programs
HHS, SSA

100 Van Ness Ave.
San Francisco, California 94102

Office Hours 8:00-4:30

Assistant Regional Commissioner, Programs
HHS, SSA
Federal Building, Room 11037
19th and Stout Street
Denver, Colorado 80202

Office Hours 8:30-4:30

Assistant Regional Commissioner, Programs
HHS, SSA
Arcade Plaza Building, M/S 204
1321 Second Avenue
Seattle, Washington 98101

Office Hours 8:00-4:30

3. Related State Office Addresses

The disability claims files may be temporarily transferred to State Disability Determination Services for initial or continuing disability determinations to be made. Vocational Rehabilitation Agencies in the States may also be involved with a disability claim from the training aspects. The State agency addresses are as follows:

Alabama

State Department of Education
Division of Disability Determinations
Clairmont Office Plaza
2800 8th Avenue, South
Birmingham, Alabama 35233

Alaska

Disability Determination Unit
Office of Vocational Rehabilitation
4100 Spenard Road, Suite A
Anchorage, Alaska 99503

Arizona

Disability Certification Office
Rehabilitation Services Bureau
Department of Economic Security
P.O. Box 11980
Phoenix, Arizona 85061

Arkansas

Disability Determination for Social Security Administration
700 S Pulaski Street, 2nd Floor
Little Rock, Arkansas 72201

California

Oakland Region

Department of Social Services
Disability Evaluation Branch
P.O. Box 24225
Oakland, California 94623

Los Angeles East Region

Department of Social Services
Disability Evaluation Branch
P.O. Box 3819
Terminal Annex
Los Angeles, California 90051

San Diego Region

Department of Social Services
Disability Evaluation Branch
P.O. Box 81326
San Diego, California 92138

Sacramento Region

Department of Social Services
Disability Evaluation Branch
P.O. Box 1827
Sacramento, California 95809

Department of Social Services
Disability Evaluation Branch
1414 K Street
Sacramento, California 95814

Fresno Region

Department of Social Services
Disability Evaluation Branch
P.O. Box 1072
Fresno, California 93714

Los Angeles West Region

Department of Social Services
Disability Evaluation Branch
P.O. Box 60999
Terminal Annex
Los Angeles, California 90060

Colorado

Department of Social Services
Division of Rehabilitation
Disability Determination Unit
2121 Onieda Street
Denver, Colorado 80224

Connecticut

Division of Vocational Rehabilitation
Bureau of Disability Determination
600 Asylum Avenue, 2nd floor
Hartford, Connecticut 06105

Delaware

Disability Determination Service
State Office Building
820 North French Street
Wilmington, Delware 19801

District of Columbia

Disability Determination Division
Vocational Rehabilitation Administration
Department of Human Resources
1411 K Street, N.W., 13th Floor
Washington, D.C. 20005

Florida

Office of Disability Determination
Dept. of Health and Rehabilitation Services
2600 Blair Stone Road, Room 350-B
Tallahassee, Florida 32301

Georgia

Division of Vocational Rehabilitation
Disability Adjudication Section
Decatur Building, Suite 300
200 Swanton Way
Decatur, Georgia 30089

Guam

Division of Vocational Rehabilitation
414 West Soledad Avenue
Agana, Guam 96910

Hawaii

Disability Determination Branch

Vocational Rehabilitation and Service for the Blind Division
Kapiolani Commercial Center
Suite 660, 1580 Makaloa Street
Honolulu, Hawaii 96814

Idaho

Disability Determination
1505 McKinney
Boise, Idaho 83704

Illinois

Division of Vocational Rehabilitation
Disability Determination Service
P.O. Box 3842
Springfield, Illinois 62708

Indiana

Disability Determination Division
P.O. Box 7069
Indianapolis, Indiana 46207

Iowa

Rehabilitation Education and Services Branch
Disability Determination Division
510 East 12th Street
Des Moines, Iowa 50319

Kansas

Disability Determination Services
Division of Vocational Rehabilitation
2036 S.E. 30th Street
Topeka, Kansas 66605

Kentucky

Department for Human Resources
Bureau for Social Insurance
Division for Disability Determinations
P.O. Box 1000
Frankfort, kentucky 40602

Louisiana

Disability Determinations
Health and Human Resources
Office of Rehabilitation Services
P.O. Box 3212
Baton Rouge, Louisiana 70821

Maine

Bureau of Vocational Rehabilitation
Division of Disability Determination
P.O. Box 949
Augusta, Maine 04330

Maryland

Disability Determination Services
Division of Vocational Rehabilitation
Post Office Box 17011
Baltimore, Maryland 21203

Massachusetts

Massachusetts Rehabilitation Commission
Disability Determination Service
6 Hamilton Place
Boston, Massachusetts 02108

Michigan

Disability Determination Service
P.O. Box 30011
Lansing, Michigan 48909

Disability Determination Service
Post Office Box 37730
Oak Park, Michigan 48237

Division Determination Service
P. O. Box 1200
Traverse City, Michigan 49684

Minnesota

Disability Determinations Unit
Division of Vocational Rehabilitation
Metro Square Building, Suite 460
Seventh and Roberts Streets
St. Paul, Minnesota 55101

Mississippi

Disability Determination Unit
State Dept. of Education
P.O. Box 1271
Jackson, Mississippi 39205

Missouri

Disability Determination Service
2401 East McCarty
Jefferson City, Missouri 65101

Montana

Disability Determination Bureau
Rehabilitative Services Division
P. O. Box 4189
Helena, Montana 59601

Nebraska

Disability Determination Services
6th Floor, State Office Building
301 Centennial Mall, South
Lincoln, Nebraska 58509

Nevada

Bureau of Disability Adjudication
Rehabilitation Division
505 East King St.
State Capital Complex, Room 403
Carson City, Nevada 89710

New Hampshire

Disability Determination Unit
Vocational Rehabilitation Division
P.O. Box 452
Concord, New Hampshire 03301

New Jersey

Division of Disability Determinations
Department of Labor and Industry
P.O. Box 649
Newark, New Jersey 07101

New Mexico

Disability Determination Unit
P.O. Box 4588
Albuquerque, New Mexico 87106

New York

Bureau of Disability Determination
State Department of Social Services
110 William Street
New York, New York 10038

North Carolina

Disability Determination Section
Division of Social Services
Post Office Box 243

Raleigh, North Carolina 27602

North Dakota

Disability Determination Section
Division of Vocational Rehabilitation
Russel Building, RR#1, Highway 83 North
Bismarck, North Dakota 58505

Ohio

Bureau of Disability Determination
Rehabilitation Services Commission
4574 Heaton Road
Columbus, Ohio 43229

Bureau of Disability Determination
Rehabilitation Services Commission
9403 Kenwood Rd.
Cincinnati, Ohio 45442

Oklahoma

Department of Institutions
Social and Rehabilitative Services
Attention: Disability Insurance Unit
P.O. Box 25352
Oklahoma City, Oklahoma 73125

Oregon

Vocational Rehabilitation Division
Disability Determination Services
2045 Silverton Road, N.E.
Salem, Oregon 97310

Pennsylvania

Bureau of Vocational Rehabilitation
Disability Determination Division
1310 - 12 North 7th Street
Harrisburg, Pennsylvania 17120

Bureau of Vocational Rehabilitation
Disability Determination Division
P.O. Box R
Wilkes-Barre, Pennsylvania 18703

Bureau of Vocational Rehabilitation
Disability Determination Division
P.O. Box 2500
Greensburg, Pennsylvania 15605

Puerto Rico

Disability Determination Program
Call Box 71301
San Juan, Puerto Rico 00936

Rhode Island

Vocational Rehabilitation Services
Disability Determination Unit
24 Mason Street
Providence, Rhode Island 02903

South Carolina

Disability Determination Division
S.C. Vocational Rehabilitation Department
P.O. Box 4945
Columbia, South Carolina 29240

South Carolina Commission for the Blind 1430 Confederate Avenue
Columbia, South Carolina 29201

South Dakota

Disability Determination Service
Division of Vocational Rehabilitation
P.O. Box 1029
Sioux Falls, South Dakota 57101

Tennessee

Disability Determination Section
Division of Vocational Rehabilitation
1808 West End Avenue, 9th Floor
Nashville, Tennessee 37203

Texas

Texas Rehabilitation Commission
Division of Disability Determination
P.O. Box 2913
Austin, Texas 78769

Utah

Disability Determination Services
Division of Rehabilitation Service
Utah State Board of Education
P.O. Box 550
Salt Lake City, Utah 84110

Vermont

Disability Determination Agency
103 South Main Street
Waterbury, Vermont 05676

Virgin Islands

Disability Representative
HHS, SSA Federal Building
26 Veterans Drive, Room 133
St. Thomas, Virgin Islands 00801

Virginia

Disability Determination Division
Virginia Department of Vocational Rehabilitation
2106 N. Hamilton Street
Richmond, Virginia 23220

Disability Determination Div.
Virginia Department of Vocational Rehabilitation
5205 Leesburg Pike, Suite 1000
Falls Church, Virginia 22041

Disability Determination Division
Virginia Department of Vocational Rehabilitation
5700 Thurston Avenue, Suite 300
Virginia Beach, Virginia 23455

Disability Determination Division
Virginia Dept. of Vocational Rehabilitation
4504 Starkey Road, S.W., Suite 100
Roanoke, Virginia 24014

Washington

Washington State Office of Disability Insurance
Spokane Branch
N 4601 Monroe Street
Spokane, Washington 99205
Office of Disability Insurance
P.O. Box 9303 M. S. LN - 11
Olympia, Washington 98504

West Virginia

Disability Determination Services
Vocational Rehabilitation Division
Mason Building, Second Floor
1206 Quarrier Street
Charleston, West Virginia 25301

Disability Determination Section
Division of Vocation Rehabilitation
P.O. Box 908
Bridgeport, West Virginia 26330

Wisconsin

Bureau of Social Security Disability Insurance
P.O. Box 7623
Madison, Wisconsin 53707

Wyoming

Disability Determination Services
Division of Vocational Rehabilitation
611 West 29th Street
Cheyenne, Wyoming 82001

Appendix D Supplemental Security Income Claims

1. Addresses for Records

Supplemental Security Income claims records are maintained in district and branch offices until a decision has been made regarding eligibility (see Appendix F.1 for address and telephone information). If payment has been awarded, or the appeal period has closed on claims with unfavorable determinations, the claims records are sent to the following locations:

Claims for benefits are maintained in the Chicago Federal Archives Records Center. Access to those claims based on age may be made through a program service center (see Appendix A for address information), or through a district or branch office (see Appendix F.1 for address information).

Access to claims for benefits based on disability or blindness may be made through the Office of Disability Operations (see Appendix B.1 for address information), or through a district or branch office (see Appendix F.1 for address information).

2. Assistant Regional Commissioner, Programs

Boston Region--Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

John F. Kennedy Federal Building
Government Center
Boston, Massachusetts 02203

New York Region--New Jersey, New York, Puerto Rico, Virgin Islands

26 Federal Plaza
New York, New York 10278

Philadelphia Region--Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia

3535 Market Street
Philadelphia, Pennsylvania 19101

Atlanta Region--Alabama, North Carolina, South Carolina, Florida, Georgia, Kentucky, Mississippi, Tennessee

101 Marietta Tower, Suite 2001
P.O. Box 1684
Atlanta, Georgia 30301

Chicago Region--Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

300 South Wacker Drive
Chicago, Illinois 60606

Dallas Region--Arkansas, Louisiana, New Mexico, Oklahoma, Texas

1200 Main Tower Building
Room 2555
Dallas, Texas 75202

Kansas City Region--Iowa, Kansas, Missouri, Nebraska

Federal Office Building
601 East 12th Street
Kansas City, Missouri 64106

Denver Region--Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Federal Office Building
19th & Stout Streets
Denver, Colorado 80202

San Francisco Region--American Samoa, Arizona, California, Guam, Hawaii, Nevada, Northern Marianna Islands

100 Van Ness Avenue
24th Floor
San Francisco, California 94102

Seattle Region--Alaska, Idaho, Oregon, Washington

Arcade Plaza Building, M/S 204
1321 Second Avenue
Seattle, Washington 98101

3. Information exchanged between the Social Security Administration and the States because of the State Supplementation and Medicaid provisions of the Supplemental Security Income program is maintained at the following State Departments of Public Welfare Agency addresses:

Alabama

Commissioner
Alabama Medicaid Agency
2500 Fairlane Dr.
Executive Park
Montgomery, Alabama 36130

Alaska

Commissioner
Department of Health and Social Services
Pouch H-01 Main St.
Juneau, Alaska 99801

Arizona

Director
Arizona Dept. of Economic Security
P.O. Box 6123
Phoenix, Arizona 85005

Arkansas

Director
Capital Mall
Welfare-ESD Building
Little Rock, Arkansas 72203

California
Director
Dept. of Benefit Payments
Tape Library MS 10-77
744 P Street
Sacramento, California 95814

Colorado

Director
Department of Social Services
1575 Sherman Street, Room 301
Denver, Colorado 80203

Connecticut

Director
Connecticut State Welfare Dept. Systems and Information
Attno Control Section Chief
110 Bartholomew Ave.
Hartford, Connecticut 06115

Delaware

Director
Administrator Payments Section
Division of Business Adm. and General Services
State Hospital Adm. Bldg.
Third Floor Annex
New Castle, Delaware 19720

District of Columbia

Director
Dept. of Human Resources
Automatic Data Processing Div.
801 N. Capitol Street, N. E.
Room 627
Washington, D. C. 20001

Florida

Deputy Assistant Secretary for Medicaid
Department of Health and Rehabilitative Services
1317 Winewood Boulevard
Tallahassee, Florida 32301

Georgia

Commissioner
Department of Medical Assistance
1010 West Peachtree Street, N.W.
Atlanta, Georgia 30309

Hawaii

Director
Department of Social Services
P. O. Box 339
Honolulu, Hawaii 96809

Idaho

Director
Department of Health and Welfare
450 W. State Street
Towers Building
Boise, Idaho 83720

Illinois

Director
Illinois Department of Public Aid
316 S. Second Street
Springfield, Illinois 62762

Indiana

Administrator
Department of Public Welfare
State Office Building, Room 701
100 North Senate Avenue
Indianapolis, Indiana 46204

Iowa

Commissioner
Iowa Department of Social Services
5th Floor, Hoover Building
Des Moines, Iowa 50319

Kansas

Secretary
Department of Social and Rehabilitation Services
6th Floor, State Office Building
State Office Bldg.
Topeka, Kansas 66612

Kentucky

Commissioner
Bureau of Social Insurance
Department for Human Resources
275 E. Main Street
Frankfort, Kentucky 40601

Louisiana

Director
State of Louisiana
Div. of Income Maintenance
P. O. Box 44065
Baton Rouge, Louisiana 70804

Maine

Director
Div. of Data Processing
Dept. of Health & Welfare
221 State Street
Augusta, Maine 04330

Maryland

Director
Dept. of Employ & Soc. Serv.
Div. of Data Processing
1100 North Eutaw Street
Room 301
Baltimore, Maryland 21201

Massachusetts

Director
Executive Office of Human Services
Information Systems and Services
Computer Center
Room 801
1 Ashburton Place
Boston, Massachusetts 02108

Director
Mass. Comm. For The Blind
110 Tremont Street
Boston, Massachusetts 02108

Michigan

Director
Department of Social Services
P.O. Box 30037
300 South Capitol Avenue
Lansing, Michigan 48933

Minnesota

Director
Department of Public Welfare
Centennial Office Building
658 Cedar Street
St. Paul, Minnesota 55101

Mississippi

Director
Mississippi Medicaid Commission
P.O. Box 16786
Jackson, Mississippi 39206

Missouri

Director
Department of Social Services
P.O. Box 1527
Broadway State Office Bldg.
Jefferson City, Missouri 65102

Montana

Director
Social and Rehabilitation Services
Office of Management and Budget
Box 1723
Helena, Montana 59601

Nebraska

Director
Department of Public Welfare
5th Floor, State Office Building
301 Centennial Mall, South
Lincoln, Nebraska 68509

Nevada

Director
Nevada State Department of Welfare
251 Jeanell
Carson City, Nevada 89701

New Hampshire

Director
State of New Hampshire
Department of Health and Welfare
Division of Welfare - Claims Processing Unit
Hazen Drive
Concord, New Hampshire 03301

New Jersey

Director
Blue Cross - Blue Shield
Systems Division Tech Services
2nd Floor
33 Washington Street
Newark, New Jersey 07102

New Mexico

Secretary
New Mexico Human Services Department
Income Support Division P.O. Box 2348
Santa Fe, New Mexico 87503

New York

Director
New York State - Department of Social Services
Income Maintenance Section
1450 Western Avenue
Albany, New York 12203

North Carolina

Director
Division of Medical Assistance
Department of Human Resources
336 Fayetteville Street, Mall
Raleigh, North Carolina 27601

North Dakota

Social Services Board
Capitol Grounds
Capital Building, 16th Floor
Bismarck, North Dakota 58501

Ohio

Director
Ohio Department of Public Welfare
State Office Tower - 32nd Floor
30 East Broad Street
Columbus, Ohio 43215

Oklahoma

Director
Department of Institutions
Social and Rehabilitation Services
Management Information Division
P.O. Box 25352
Oklahoma City, Oklahoma 73125

Oregon

Administrator
Adult and Family Services Division
Department of Human Services
417 Public Service Building
Salem, Oregon 97310

Pennsylvania

Director, Bureau of Policy
Office of Income Maintenance
Health and Welfare Building
6th and Forster Streets - Room 103
Harrisburg, Pennsylvania 17120

Rhode Island

Director
Aime J. Forand Building
600 New London Avenue
Cranston, Rhode Island 02920

South Carolina

Executive Assistant
Office of Health Care Financing
Department of Social Services
P.O. Box 1520
Columbia, South Carolina 29202

South Dakota

Director
State Department of Social Services
Division of Social Welfare
State Office Building No. 1
Pierre, South Dakota 57501

Tennessee

Director
Division of Medicaid
Department of Public Health
283 Plus Park Boulevard
Nashville, Tennessee 37217

Texas

Commissioner
Texas Department of Public Welfare
854-V
P.O. Box 2960
Austin, Texas 78769

Utah

Director
Office of Administrative Services
EDP and Systems
231 East 4th South
Empire Building
Salt Lake City, Utah 84111

Vermont

AABD/ANFC Director
Department of Social Welfare
4 East State Street
Montpelier, Vermont 05602

Virginia

Director
Bureau of Data Systems
Data Proc. Oper. Section
Room 107 Ratcliffe Bldg.
1602 Rolling Hills Drive
Richmond, Virginia 23288

Washington

Secretary
Department of Social and Health Services
M/S OB-44
Olympia, Washington 98504

West Virginia

Director
State of West Virginia Department of Welfare
State Office Building No. 6
1900 East Washington Street
Charleston, West Virginia 25305

Wisconsin

Secretary
Department of Health and Social Services
1 West Wilson Street
Room 341
Madison, Wisconsin 53702

Wyoming

Director of Finance and Accounting
Department of Health and Social Services
State Office Building West
Cheyenne, Wyoming 82002

Appendix E Federal Coal Mine Health and Safety Act Claims (Black Lung)

Black lung records are maintained by the Office of Disability Operations, Baltimore, Maryland 21241. Office hours: 8:20am - 4:30pm.

Appendix F Social Security Administration Field Operations Addresses

1. Social Security District and Branch Offices

The addresses and telephone numbers of social security district and branch offices may be found listed in local telephone directories under Social Security Administration or under United States Government, Department of Health and Human Services, Social Security Administration.

Office Hours - varied.

2. Assistant Regional Commissioner Field Operations, Addresses

Boston Region--Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

John F. Kennedy Federal Building
Government Center, Room 1109
Boston, Massachusetts 02203

Office Hours - 8:30 - 5:00

New York Region--New Jersey, New York, Puerto Rico, Virgin Islands

26 Federal Plaza, Room 745
New York, New York 10278

Office Hours - 8:30 - 5:00

Philadelphia Region--Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia

3535 Market Street
P.O. Box 8788
Philadelphia, Pennsylvania 19101

Office Hours - 8:00 - 4:30

Atlanta Region--Alabama, North Carolina, South Carolina, Florida, Georgia, Kentucky, Mississippi, Tennessee

101 Marietta Tower
Suite 2001
P.O. Box 1684
Atlanta, Georgia 30301

Office Hours - 8:00 - 4:30

Chicago Region--Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

300 South Wacker Drive, 28th Floor
Chicago, Illinois 60606

Dallas Region--Arkansas, Louisiana, New Mexico, Oklahoma, Texas

1200 Main Tower Bldg.
Room 2555
Dallas, Texas 75202

Office Hours - 8:00 - 4:30

Kansas City Region--Iowa, Kansas, Missouri, Nebraska

New Federal Office Building
601 East 12th Street
Kansas City, Missouri 64106

Office Hours 8:00 - 4:30

Denver Region--Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Federal Office Building
1961 Stout Street
Room 9017
Denver, Colorado 80294

Office Hours - 8:00 - 4:30

San Francisco Region--American Samoa, Arizona, California, Guam, Hawaii, Nevada, Northern Marianna Islands

100 Van Ness Avenue, 28th Floor
San Francisco, California 94102

Office Hours - 8:00 - 4:30

Seattle Region--Alaska, Idaho, Oregon, Washington

Room 6027
Arcade Plaza Building MS 205
1321 Second Avenue
Seattle, Washington 98101

Office Hours - 8:00 - 4:30

4. Teleservice Centers

Atlanta

P.O. Box 54655
Sixth Floor
730 Peachtree Street, NE
Atlanta, Georgia 30308

Berkeley

2000 Center Street
Room 420
Berkeley, California 94704

Boston

Rm. 1609
100 Summer St.
Boston, Massachusetts 02110

Chicago

4916 W. Belmont
Chicago, Illinois 60641

2211 W. 95th Street
Chicago, Illinois 60643

Cincinnati

P.O. Box 41905
4050 Executive Park Drive
Cincinnati, Ohio 45241

Cleveland

11901 Berea Road
P.O. Box 41305
Cleveland, Ohio 44111

Des Moines

Room 965, Federal Building
210 Walnut Street
Des Moine, Ia 50309

Detroit

17227 W. Seven Mile road
Detroit, Michigan 48235

Ft. Lauderdale

299 E. Broward Blvd., Federal Bldg.
Room 410
Ft. Lauderdale, Florida 33310

Houston

6900 Fannin, Suite 700
Fannin-Holcombe Building
Houston, Texas 77005

Grand Prairie Teleservice Center
729 Dalworth
Grand Prairie, Texas 75050

Indianapolis

575 N. Pennsylvania Street
Indianapolis, Indiana 46204

Jamaica

90-15-17 Sulphin Boulevard
Jamaica, New York 11435

Jersey City

30 Montgomery Street
Jersey City, New Jersey 07303

Jamaica

90-15-77 Sutphin Boulevard
Jamaica, NY 11435

Jersey City

30 Montgomery Street
Jersey City, NJ 07303

Kansas
Room 2800 Federal Bldg. 911 Walnut Street
Kansas City, Mo 64106

Laurel

9703 Fort Meade Road
Route 198
Laurel, Maryland 20810

Los Angeles

3250 Wilshire Boulevard
Room 350
Los Angeles, California 90010

New Orleans

31st Floor
Plaza Towers
1001 Howard Avenue
New Orleans, Louisiana 70113

Lodi

2nd Floor, Merchants Mall
#1 South Main Street
Lodi, New Jersey 07644

Minneapolis

University Park Plaza Building
Suite 642
2829 University Avenue, S.E.
Minneapolis, Minnesota 55414

Pittsburgh

Room 1000 Park Building
355 Fifth Avenue
Pittsburgh, Penn 15222

Portland

610 S.W. Alder Street
Room 322
Portland, Oregon 97205

Parlin

Mine Mall, II
P.O. Box 494 Ernston Station
Parlin, New Jersey 08859

St. Louis

Building 105F, 2nd Floor
4300 Goodfellow Boulevard
St. Louis, Mo 63120

Tampa

700 Twigg Street
P.O. Box 30
Tampa, Florida 33601

Upper Darby

6301 Ludlow Street
2nd Floor
Upper Darby, Pennsylvania 19082

Phoenix

3424 North Central Avenue
P.O. Box 7370
Phoenix, Arizona 85011

San Diego

P.O. Box A1311
880 Front Street
San Diego, California 92112

Seattle

4735 E. Marginal Way South
Seattle, Washington 98134

Appendix G Office of Hearings and Appeals

The Office of Hearings and Appeals is charged with the responsibility for making decisions on appeals taken above the reconsideration level by claimants for retirement, survivors, disability, supplemental security, medicare, or black lung benefits.

Files for cases awaiting action by the Appeals Council based on the claimants' request for Council review and records of hearings decisions by Administrative Law Judges are maintained at the Office headquarters. The address is:

Office of Hearings and Appeals
801 North Randolph Street
Arlington, Virginia 22203

Files for cases awaiting hearings or decisions by Administrative Law Judges based on requests for a hearing submitted by claimants are maintained in the appropriate hearing office.

The selection of the office is based on the Region and the District Office Service Area in which the appellant claimant lives. The Regions, the addresses of the Administrative Law Judges and the District Office Service Areas from which the Judges accept cases are listed below. Correspondence should be addressed to the Bureau of Hearings and Appeals, Administrative Law Judge at the appropriate address.

In the BOSTON REGION

9th Floor
55 Summer Street
Boston, Massachusetts 02110

For the following district and (branch) offices:

MASSACHUSETTS: Boston, (Brookline), Brockton (Hanover): Cambridge, Chelsea, Fitchburg, (Gardner), Framingham, Haverhill, Lawrence, Lowell, Lynn, Malden, Norwood, Quincy, Roxbury (Dorchester); (Roslindale); Salem, Waltham, Worcester

Room 331
135 High Street
Hartford, Connecticut 06103

For the following district and (branch) offices:

Connecticut: Hartford (East Hartford); Meriden (Middletown); New Briton (Bristol); New London, (Norwich); Torrington; Waterbury; Willimantic

275 Chestnut Street
P.O. Box 3010
Norris Cotton Federal Building
Manchester, NH 03101

For the following district and (branch) offices:

NEW HAMPSHIRE: Concord, Littleton, Manchester, Nashua, (Keene); Portsmouth

VERMONT: Burlington, Montpelier, Rutland

234 Church Street
Room 301
New Haven, CT 06511

For the following district and (branch) offices:

Connecticut: New Haven, (Ansonia); Bridgeport, (East Bridgeport); (Danbury); Stamford (South Norwalk)

Room 125
76 Pearl Street
Portland, ME 04111

For the following district and (branch) offices:

Maine: Augusta, (Rockland); (Waterville); Bangor; Lewiston (Rumford); Portland, (Biddeford); Presque Isle

44 Washington Street
3rd Floor
Slade Building
Providence, RI 02903

MASSACHUSETTS: Attleboro, Fall River, (Taunton); New Bedford, (Falmouth); (Hyannis)

RHODE ISLAND: Pawtucket, Providence, (Newport); (Warwick); (Woonsocket)

Room 438
436 Dwight Street
Springfield, Mass 01103

For the following district and (branch) offices:

Massachusetts: Springfield, Holyoke, (Greenfield); Pittsfield (North Adams)

In the NEW YORK REGION

Federal Office Bldg., Room 942
One Clinton Square
Albany, New York 12207

NEW YORK: Albany, (Hudson); Glens Falls, Gloversville, Kingston, Plattsburgh, Poughkeepsie, Schenectady, Troy

F. Rodriquez Torres Building
(Next to City Hall)
Ground Floor
RD #2 KM 11.2
Bayamon, PR 00619

For the following district and (branch) offices::

Bayamon, Arecibo, Manati

189 Montague Street
2nd Floor
Brooklyn, New York 11201

NEW YORK: Brooklyn Avenue X, Boro Hall, (Bedford-Stuyvesant); (Bay Ridge); Bushwick, (Williamsburg); East New York, (Canarsie); Flatbush, (Kings Plaza) Bushwick, East New York, Flatbush

Room 404
U.S. Court House
68 Court Street
Buffalo, New York 14202

For the following district and (branch) offices::

NEW YORK: Batavia, Buffalo, (West Seneca); (Cheektowaga); Jamestown, (Dunkirk); Kenmore, Niagara Falls, Olean, Rochester

Room 402, Ferry Office Building
1800 Davis Street, East
Camden, New Jersey 08104

For the following district and (branch) offices::

NEW JERSEY: Asbury Park (Toms River); (Brick Township); Atlantic City (Wildwood); Bridgeton, Camden, (Glassboro); (Mount Holly); Trenton

Room 700, Housing
Investment Building
416 Ponce de Leon Avenue
Hato Rey, Puerto Rico 00918

For the following district and (branch) offices::

PUERTO RICO: Caguas, (Humanso); San Juan: Downtown (Hato Rey); (Santurce); (Fajardo); (Carolina)

VIRGIN ISLANDS: St. Thomas (St. Croix)

148-43 Hillside Avenue
2nd Floor
Jamaica, New York 11435

For the following district and (branch) offices:

NEW YORK: Flushing, Jackson Heights: (Astoria); (Long Island City); Jamaica (Far Rockaway)

Room 6A, Western Federal Building
19 West McKinley Street
Mayaguez, Puerto Rico 00708

For the following district and (branch) offices:

MAILING ADDRESS:

G.P.O. Box V
Mayaguez, Puerto Rico 00708

PUERTO RICO: Mayaguez (Aquadilla); (San Sabastian)

195 Willis Avenue
Mineola, N.Y. 11501

NEW YORK: Freeport, (Long Beach); Huntington Station, (Babylon); Mineola, Patchogue (Riverhead)

15th Floor
39 Broadway
New York, NY 10006

Manhattan, Downtown, (Chinatown); (Delancey Street); (Tompkins Park); Midtown, (Lenox Hill); (Murray Hill); Staten Island (New Drop); Upton, (East Harlem); (North Harlem); Washington Heights

Room 1522
1180 Raymond Boulevard
Newark, New Jersey 07102

NEW JERSEY: East Orange, Hackensack, Irvington, Jersey City, (Hoboken), Montclair, Morristown, (Newton); Newark, (Clinton Hill); Passaic, Patterson, (Ho-Ho-Kus); Elizabeth, (Plainfield); Perth Amboy, New Brunswick (Raritan)

Centro Del Sur
Shopping Center
Ponce, PR 00731

Puerto Rico: Ponce (Cayey); Guayama); (Yauco)

913 Federal Building
100 S. Clinton Street
Syracuse, N.Y. 13260

NEW YORK: Auburn, Binghamton, (Ithaca); Elmira, (Corning); Geneva, Ogdensburg, Oneonta, Oswego, Syracuse, Utica, (Herkimer), (Rome); Watertown

Room 105
237 Mamaroneck Avenue
White Plains, New York 10605

NEW YORK: Nanuet, New Rochelle, (Mount Vernon); White Plains, (Peekskill); Newburgh, (Monticello); Yonkers, East Bronx, (Baychester); North Bronx, (West Farms); South Bronx (Hunts Point); (Bronx Hub); (Riverdale)

In the PHILADELPHIA REGION

Room 415, The Rotunda
711 West 40th Street
Baltimore, Maryland 21211

MARYLAND: Baltimore: Downtown (East); (Montdawmin); (North); (Northeast); (Northwest); (West); Glen Burnie (Annapolis); (Catonsville); Towson (Bel Air); (Eastpoint); (Elkton); (Garrison); (Westminister)

500 Quarrier Street
Room 1019, U.S. Courthouse and Federal Building
Charleston, West Virginia 25301

WEST VIRGINIA: Beckley, (Oak Hill); Charleston, (Montgomery); Logan (St Albans); Parkersburg, (Williamson)

Room 203, Citizens Commonwealth Center
300 Preston Avenue
Charlottesville, Virginia 22901

VIRGINIA: Charlottesville, Lynchburg, (Culpepper); (Farmville); Staunton (Harrisonburg)

Riverside Office Center
Bldg. No. 3--Suite H
2101 N. Front St.
Harrisburg, Pennsylvania 17110

PENNSYLVANIA: Lancaster, York, Carlisle, Harrisburg

Room 300
640 4th Avenue
Huntington, West Virginia 25701

KENTUCKY: Ashland, Pikeville (Prestonburg)
WEST VIRGINIA: Huntington

Room 309, Fox Square Pavilion
Old York Road at Wyncote
Jenkintown, Pennsylvania 19046

PENNSYLVANIA: Allentown, (Bethehem) Bristol, Easton, (E. Stroudsburg); (Glenside); Norrirtown; (Pottstown); Philadelphia: Northeast (Kensington-Allegheny); Reading

Penn Traffic Building
Suite 102
319 Washington Street
Johnstown, Pennsylvania 15901

PENNSYLVANIA: Altoona, (State College); DuBois, Greensburg, Indiana, Johnstown (Somerset)

200 Grandy Mall
Federal Bldg., Rm 736
Norfolk, Va 23510

VIRGINIA: Hampton, Newport News, Norfolk, Portsmouth, Suffolk

1528 Walnut Street
10th Floor
Philadelphia, Pennsylvania 19107

DELAWARE: Dover, Wilmington

PENNSYLVANIA: Chester (Lebanon)
Philadelphia: Downtown, (Broad Street); (South) Germantown (Nicetown); (North Philadelphia); (South); (West Upper Darby); (Mantua); West Chester

355 Fifth Avenue, 5th Floor
Park Building
Pittsburgh, Pennsylvania 15222

PENNSYLVANIA: Ambridge, (Beaver Falls); Butler, (Charleroi); Erie, (Kittaning); Meadville); McKeesport, (Braddock); New Castle, New Kensington, (Monroeville); Oil City; Pittburgh: Downtown, (Brentwood); (Hill Distr.); (Mt Lebanon); (North Side); East, (Hill Distr.); Sharon, Uniontown, Washington

WEST VIRGINIA: Clarksburg, (Elkins); (Fairmont); Morgantown, Wheeling

OHIO: Bridgeport, East Liverpool, Stuebenville

Room 9225, Federal Building
400 North 8th Street
Richmond, Virginia 23240

VIRGINIA: (Fredericksburg); Petersburg, Richmond: (Church Hill); Downtown, (Northside); (Southside)

Room 857 Richard Poff Federal Office Bldg.
210 Franklin Road, S.W.
Roanoke, Virginia 24011

VIRGINIA: Covington, Danville, (Martinville); Roanoke, (South Boston); (Wytheville)

WEST VIRGINIA: Bluefield, Welch

Room 730
1325 G Street, N.W.
Washington, D.C. 20005

DISTRICT OF COLUMBIA: Washington: Alabama Avenue; Downtown (East Capitol Street); (Eight Street); (Rhode Island Avenue); (Taylor Street)

MARYLAND: (Bladensburg); (Cambridge); Camp Springs, Cumberland, Frederick, (Hagerstown); (Rockville)

PENNSYLVANIA: Chambersburg

VIRGINA: Alexandria, Winchester (Arlington); (Falls Church)

WEST VIRGINIA: (Martinsburg) FOREIGN CLAIMS: (Code 995) except Philippine Islands

DELAWARE: Georgetown

Room 3110 Penn Place
20 N. Pennsylvania Ave.
Wikes-Barre, Pa. 18701

PENNSYLVANIA: (Bloomsburg), (Carbondale); Hazleton, (Lehighton); (Lewiston); (Pittston); (Pottsville); Scranton, (Shamokin); Wilkes-Barre, Williamsport, Sunbury, (Towanda)

In the ATLANTA REGION

Suite 514
25th Street Building
1720 Peachtree Street, N.W.
Atlanta, Georgia 30309

GEORGIA: Atlanta: Downtown, (Northeast); (Northwest); (Southeast); (Southwest); (Daniel Village); Downtown, (Carrollton); LaGrange, Marietta

Room 420, Shel-Al Building
11 West Oxmoor Road
Birmingham, Alabama 35209

ALABAMA: (Albertsville); Anniston, Bessemer; Birmingham: Downtown, (East Lake); (Ensley); (Five Points West); Gadsden (Jasper); (Talladega); Tuscaloosa

Federal Bldg., Suite 125
334 Meeting Street
Charleston, South Carolina 29403

GEORGIA: Savannah: Downtown (Southside); (Statesboro)

SOUTH CAROLINA: (Beaufort); Charleston, (Conway); (Georgetown); North Charleston, (Walterboro)

Suite 302, Court Plaza Bldg.
901 Elizabeth Avenue
Charlotte, North Carolina 28204

NORTH CAROLINA: (Albamarle); Charlotte: Downtown, (N. Tryon Street); Gastonia, (Morgantown) (Rockingham); Salisburg, (Shelby); (Stateville); Hickory

SOUTH CAROLINA: (Lancaster); Rock Hill

P.O. Box 8739
Chattanooga, Tennessee 37311

ALABAMA: Huntsville, (Scottsboro)

GEORGIA: (Cedartown); (Dalton); Rome

TENNESSEE: (Athens); Chattonooga, (Cleveland); (Tullahoma)

Twelth Floor Suite 1259
Strom Thurmond Federal Building
1835 Assembly Street
Columbia, SC 29201

SOUTH CAROLINA: (Bennettsville); (Camden); Columbia, Florence, Greenwood, (Laurens); (Orangeburg); (Sumter)

Suite 2100, Bldg 3
Northgate Office Park
3620 Interstate 85 N.E.
Doraville, Ga 30340

GEORGIA: Athens, Augusta, (Covington); Decatur, Gainesville (Toccoa); (Winder); (Columbia)

SOUTH CAROLINA: (Aiken)

Suite E. Spring Street Federal Bldg.
426 East Spring Street
Florence, Alabama 35630

ALABAMA: (Cullman); Decatur, Florence, (Russellville)

MISSISSIPPI: Columbus, (Corinth); Tupelo (Starkville)

1200 West Bessemer Square Building
1215 West Bessemer Avenue
Greensboro, North Carolina 27408

NORTH CAROLINA: (Asheboro); (Burlington); (Greensboro); High Point, (Mt. Airy); (North Wilkesboro); (Reidsville); Winston-Salem

Suite 116
300 University Ridge
Greenville, South Carolina 29601

SOUTH CAROLINA: Anderson, Greenville, Spartanburg, Asheville, (Franklin); (Henersonville)

301 Humble Avenue
Hattiesburg, Mississippi 39401

MISSISSIPPI: (Brookhaven); (Columbia); Hattiesburg (Laurel); (McComb)

Suite 80! 100 West Capital Street
Jackson, Mississippi 39201

MISSISSIPPI: (Cleveland) Greenville, Greenwood, (Grenada); Jackson, (Kosciusko); Meridian, (Newton); (Philadelphia); Vicksburg, (Natchez)

2809 Art Museum Drive, Room 3
Jacksonville, Florida 32207

FLORIDA: Gainesville; Jacksonville: Downtown, (North); (Lake City); (Palatka); (Quincy); St. Augustine, Tallahassee

GEORGIA: (Baindridge); (Brunswick); Thomasville, Valdosta, Waycross

1420B East Stone Drive
Kingsport, Tennessee 37660

TENNESSEE: (Greenville); Johnson City, (Kingsport)

VIRGINIA: Bristol, (Norton)

Suite 300, Appalachian National Life Building
318 Cumberland Avenue, S.W.
Knoxville, Tennessee 37902

TENNESSEE: Knoxville, (La Follette); (Maryville); (Morristown); (Oak Ridge)

Room 230, The Bakhaus Building
1500 West Main Street
Lexington, Kentucky 40505

KENTUCKY: Frankfort, Lexington, (Maysville); (Richmond); Danville

Room 600, Bank of Louisville Building
510 West Broadway
Louisville, Kentucky 40202

INDIANA: New Albany

KENTUCKY: Campbellsville, Elizabethtown; Louisville: Downtown, (East); (West); Bowling Green

Room 813, Southern Trust Building
682 Cherry Street
Macon, Georgia 31201

GEORGIA: Albany, (Cordele); (Dublin); Macon, (Milledgeville); (Moultrie); (Swainsboro); (Tifton); (Warner Robins)

Suite 602
Mid-Memphis Tower Bldg.
1407 Union Avenue
Memphis, Tennessee 48103

MISSISSIPPI: (Clarksdale); (Holly Springs)

TENNESSEE: Dyersburg, Jackson; Memphis: Downtown, (East); (North); (South); (Union City)

4th Floor, Northeast
Airlines Bldg.
150 S.E. 2nd Avenue
Miami,Florida 33131

FLORIDA: (Coral Gables); (Delray Beach); Fort Lauderdale: (W. Broward); (Fort Pierce); (Hialeah); (Hallendale); Hollywood, (Key West); Miami (Allapattah); (Cutler Ridge); Downtown, (Little Havannah)

Village Square Shopping Center
Route #2, Box 12-55
Middlesboro, Ky 40965

KENTUCKY: (Middlesboro), Corbin, (Harlan), Hazard, (Somerset)

Room 407, Commerce Building
118 North Royal Street
Mobile, Alabama 36602

ALABAMA: (Andalusia); (Jackson); Mobile: Downtown, (Fairhope); (W. Mobile)

FLORIDA: (Marianna); Panama City, Pensacola

MISSISSIPPI: Gulfport (Pascagoula)

Room 109, McDonough Building
770 South McDonough Street
Montgomery, Alabama 36104

ALABAMA: (Alexander City); (Dempolis); Dothan, Montgomery, (Opelika); Selma (Troy)

Room 800
1717 West End Avenue
Nashville, Tennessee 37203

TENNESSEE: (Clarksville), Columbia, Cookeville, (Gallatin); (Lawrenceburg); (McMinnville); (Murfreesboro); Nashville: Downtown, (East); (Hadley Park); (Paris)

U.S. Federal Bldg and Courthouse, Rm 239
80 N. Hughey Avenue
Orlando, Flordia 32801

FLORIDA: Daytona Beach, (Deland); (Leesburg); Melbourne, (Ocala); Orlando, (Sandford); (Vero Beach)

No. 1 Tiffany Square
3038 Lone Oak Road
Paducah, Kentucky 42001

ILLINOIS: (Cairo)

KENTUCKY: Hopkinsville, (Madisonville); (Mayfield); Owensboro, Paducah

3824 Barrett Drive, Room 200
Raleigh, North Carolina 27609

NORTH CAROLINA: Durham, (Elizabeth City); Fayetteville, Goldboro,
Greenville, (Henderson); Kinston); (Lumberton); New Bern; Raleigh, (Roanoke Rapids); Rocky Mount, (Sanford); (Smithfield); (Washington); (Whiteville); Wilmington, (Wilson)

Suite 638
700 Twiggs Street
700 Twiggs Building
Tampa, Florida 33602

FLORIDA: (Bradenton), Clearwater, (Dade City), Fort Meyers, (Holiday); Lakeland, (Naples); (Pinellas Park); (Plant City); St. Petersburg, Sarasota, (Sebring); Tampa: Downtown, (Wellswood); (Winter Haven)

In the CHICAGO REGION

Room 1430, Mid-Continental Plaza
55 East Monroe Street
Chicago, Illinois 60603 (DT)

ILLINOIS: Aurora, (Downers Grove); Champaign; Chicago: Loop, Near Northwest, (Westtown); Near Southwest, West; (Lawndale); Danville, Elgin, Elmwood Park, Harvey, (Villa Park); Markham, Joliet, Kankakee, North Riverside (La Grange)

The Kluczynski Federal Bldg.
230 South Dearborn St.
Room 2645
Chicago, Illinois 60604 (South)

ILLINOIS: Chicago: East, (Back of the Yards); South (Bridgeview); Southeast

INDIANA: Gary, (Merrillville); (Valparaiso); Hammond, (East Chicago); (Michigan City)

MICHIGAN: Benton Harbor

Room 6409, Federal Office Building
550 Main Street
Cincinnati, Ohio 45202

KENTUCKY: Covington

OHIO: Cincinnati: Downtown, (Peebles Corner); North, (Batavia); Dayton: Downtown, (West); (Xenia); Hamilton, (Middletown); (Ironton); Portsmouth

Room 1919 Superior Building
815 Superior Avenue, N.E.
Cleveland, Ohio 44114

OHIO: Akron: Downtown, (West); (Medina); (Ravenna); Ashtabula, (Painesville); Canton; (Woodster); Cleveland: Downtown, Heights (Midtown); (Northeast); (Northwest); (Southeast); (Southwest); (University Circle); West, (Euclid), Lorain, Mansfield, New Philadelphia, Sandusky, (Fremont); Toledo: (West); (Bowling Green); Warren, Youngstown

Room 717, LeVeque Lincoln Tower
50 West Broad Street
Columbus, Ohio 43215

OHIO: Chillicothe; Columbus: Downtown; (East); (North); (Lancaster); Findlay; Lima, Marietta, Marion, (Athens); Newark, Piqua, Springfield, Zanesville; (Cambridge); (Gallipolis)

Patrick J. McNamara Federal Bldg
4th Floor, Rooms 430-449 477 Michigan Avenue
Detroit, Michigan 48226

MICHIGAN: Ann Arbor, (Monroe); Dearborn; (Inkster); (wyandotte); Detroit: Downtown East, (E. Jefferson Avenue); (Grand River); (Hamtramck); Southwest

Room 250, 2nd Floor, Davis Bldg
820 Davis Street
Evanston, Illinois 60201

ILLINOIS: Chicago: North, Northwest; (Arlington Heights); (Des Plaines); Evanston, (Glenview); Rockford, (Freeport); Sterling, , (Woodstock); Waukegan

Room 246, Federal Bldg.
101 N. W. Seventh St.
Evansville, Indiana 47708

ILLINOIS: Carbondale, Harrisburg, (W. Frankfort); (Effingham); Mount Vernon

INDIANA: Evansville, Vincennes

KENTUCKY: (Henderson)

Room 810 Metropolitan Building 432 N. Saginaw St.
Flint, Michigan 48502

MICHIGAN: (Alpena); Bay City, Flint, (Owosso); Port Huron, Saginaw

Room 401, Commerce Building
127 West Berry Street
Fort Wayne, Indiana 46802

INDIANA: (Auburn) Elkhart, Fort Wayne, Marion, Muncie, South Bend

OHIO: Defiance

221 Federal Bldg.
575 N. Pennsylvania Street
Indianapolis, Indiana 46204

INDIANA: Anderson, Bloomington, Columbus, (Crawfordsville); Indianapolis: Downtown; (East); (West); Kokomo, Lafayette, Madison, Richmond, Terre Haute

Room 900, Washington Square Building
109 West Michigan Avenue
Lansing, Michigan 48933

MICHIGAN: (Adrian); Battle Creek, Grand Rapids, (Holland), Jackson, Kalamazoo, Lansing, Mount Pleasant, Muskegon, (Petoskey), Traverse City
The Continental Bank Bldg.
Room 800
735 West Wisconsin Avenue
Milwaukee, Wisconsin 53233

WISCONSIN: Appleton, Eau Claire, (Rice Lake); Fond de Lac, Janesville, Kenosha, Green Bay, (Marinette); LaCrosse, (Lancaster); Madison, (Portage); (Manitowoc); Milwaukee: (Mitchell); North, South, East, (Vliet St.); Oshkosh, Racine, Sheboygan, Waukesha, (West Bend); Wisconsin Rapids, (Rhinelander); Wausau
MICHIGAN: Escanaba, Marquette, (Ironwood)

830 Plymouth Building
12 South 6th Street
Minneapolis, Minnesota 55402

MINNESOTA: (Alexandria); Austin, Bemidji, (Brooklyn Center); Duluth, (Fairmont); Hibbing, Mankato, Marshall; Minneapolis: (Broadway); (Southwest); Rochester, St. Cloud, St. Paul, Winona

WISCONSIN: Superior

Room 1004, Savings Center Tower
411 Hamilton Blvd.
Peoria, Illinois 61602

ILLINOIS: Bloomington, Decatur, Galesburg, (Pekin); Peoria, Peru, Springfield

Suite 800
Northland Towers West
15565 Northland Drive
Southfield, MI 48075

MICHIGAN: Detroit: Highland Park, (Livernois St.); Northwest, (livonia); Roseville, (Framington); (Mt. Clemens); Pontiac, (Royal Oak); (Warren) Roseville, Livonia

In the DALLAS REGION

Room 309, Patio Plaza Bldg
5000 Marble Avenue, N.E.
Albuquerque, New Mexico 87110

NEW MEXICO: Albuquerque, (Clovis); Farmington, (Gallup); (Hobbs); (Las Cruces); (Las Vegas); Roswett, Sante Fe

3744 Government Street
Alexandria, Louisiana 71301

LOUISIANA: Alexandria, (DeRidder); Lafayette, Lake Charles, (Leesville); (Natchitoches); (New Iberia); (Opelousas); Baton Rouge: Downtown (Government St.); (Plaquemine)

Federal Office Bldg
Room 7B41
1100 Commerce Street
Dallas, Texas 75242 (DT)

TEXAS: (Corsicana); Dallas: (South Oak Cliff); (South Dallas); Lufkin, (Nacogdoches); (Palestine); (Waxahachie); Temple, Waco (West Dallas) Lufkin, Temple, Waco

Central Square, Suite 252
10830 North Central Expressway
Dallas, Texas 75231 (North)

Texas: (McKinney); Longview, (Marshall); Paris, Greenville, Tyler, Sherman

Dallas: Rawlins

Room 203, 616 Garrison Bldg.
616 Garrison Avenue
Fort Smith, Arkansas 72903

ARKANSAS: Fayetteville, Fort Smith, (Harrison); (Russellville)

Room 9A35, Federal Office Building
819 Taylor Street
Fort Worth, Texas 76102

TEXAS: Abilene, (Big Springs), (Brownwood); (Cleburne); Fort Worth, (Denton); Odessa, San Angelo

Suite 815, One Allen Center Building
500 Dallas Street
Houston, Texas 77002

TEXAS: (Angleton); Beaumont, (Brenham); Bryan, Galveston; Houston: Downtown, (Northwest); (Northeast); (South Park); Southwest, (Huntsville); Pasadena, Port Arthur

2402 Federal Office Building
700 West Capitol Avenue
Little Rock, Arkansas 72201

ARKANSAS: (Batesville); (Blytheville); (Camden); (Conway); El Dorada, Forest City, (Helena); Hot Springs, National Park, Jonesboro, Little Rock, Pine Bluff (Searcy); (West Memphis)

104 East Carl Albert Pkwy.
McAlester, Oklahoma 74501

TEXAS: Texarkana

OKLAHOMA: (Hugo); McAlester, (Durant); Poteau

2nd Floor, Oil and Gas Building
1100 Tulane Avenue
New Orleans, Louisiana 70112

LOUISIANA: (Bogalusa); (Covington); (Gretna); (Hammond); Houma, (Matairie);; (Morgan City); New Orleans: Downtown, (East); (Poland Ave.)

Suite 416, 50 Penn Place
Northwest 50th and Pennsylvania Streets
Oklahoma City, Oklahoma 73118

OKLAHOMA: (Ada); (Altus); Ardmore, (Chickasha; (Clinton); (Duncan); Enid, (Guymon); Lawton, (Norman); Oklahoma City, (Ponce City); (Shawnee); (Stillwater)

TEXAS: Amarillo, Lubbock, (Pampa); (Plainview); (Vernon); Wichita Falls

Room 222, Castle Hills Executive Plaza
1015 Jackson Keller Road
San Antonio, Texas 78213

TEXAS: (Alice); Austin, Brownsville, Corpus Christi, (Eagle Pass); (Harlingen); (Kerrville); Laredo, McAllen; San Antonio: Downtown, (Southside); Westside); (Sequin); Victoria, El Paso

Suite 232
Shreve City Office Park
2920 Knight Street
Shreveport, Louisiana 71105

Louisiana: (Bossier City); (Minden); Shreveport, (Bastrop); Monroe, (Ruston); (Tallulah)

3rd Floor, Columbia Building
2651 East 21st Street
Tulsa, Oklahoma 74114

OKLAHOMA: (Bartlesville); (Miami); Tulsa, Muskogee, (Okmulgee)

In the KANSAS CITY REGION

950 Office Park Road, Suite 221
West Des Moines, Iowa 50265

ILLINOIS: Rock Island

IOWA: (Ames); Burlington, (Carroll); Cedar Rapids, (Clinton); Creston, Davenport, (Delorah); Des Moine, Dubuque, Fort Dodge (Iowa City); (Marshalltown); Mason City, (Oskaloosa); Ottumwa, (Spencer); (Storm Lake); Waterloo, Waterloo

Room 2
8706 Manchester Road
Brentwood, MO 63144

Missouri: Cape Giradeau, Clayton, (Flat River); (Kennett); (Sykeston); St. Louis County: Southside, (Union); (West Plains); St. Charles, Poplar Bluff

Room 1201, Federal Office Building
911 Walnut Street
Kansas City, Missouri 64106

KANSAS: (Emporia); Kansas City, (Lawrence); (Manhattan); (Ottawa); (Shawnee Mission); Topeka

MISSOURI: (Chillicothe); (Columbia); (Gladstone); Independence Jefferson City, Joplin; Kansas City: (Downtown); (Indiana Ave); Kansas City, (Kirkville); (Lebanon); (Maryville); Moberly, (Nevada); (Rolla); St. Joseph, Sedalia, Springfield (Warrensburg)

980 South 72nd Street
Omaha, Nebraska 68114

IOWA: (Council Bluffs), Sioux City

NEBRASKA: (Beartice); (Columbia); (Fremont); Grand Island, (Hastings); Lincoln, Norfolk, North Platte, Omaha

Room 1427
219 North 12th Street
St. Louis, Missouri 63101

ILLINOIS: Alton; East St. Louis: Downtown, (State St.); (Litchfield); Quincy

MISSOURI: Hannibal, (St. Charles); St. Louis: Downtown, (Kings Highway)

Suite 102 Woodlawn Central Building
400 North Woodlawn
Wichita, Kansas 67208

KANSAS: (Colby); Dodge City, Hays, Hutchinson, Independence, Pittsburgh, Salina, Wichita, (Winfield)

In the DENVER REGION

204 Treasure State Building
2906 2nd Ave, N
Billings Mt 59101

Montana: Billings, (Bozeman); Butte, Great Falls, Helena, (Kalispell); (Miles City); Missouri

Suite 1122
700 Broadway Street
Denver, CO 59101

COLORADO: Alamosa (Boulder); (Aurora); (Canon city); Colorado Springs, Denver: Downtown, (E. Colfax); (Englewood); (Lakewood); (Southwest); (Durango); (Fort Collins); (Glen Springs); Grand Junction, Greeley, (La Junta); (Montrose); Pueblo, (Sterling); (Trinidad)

NEBRASKA: Scottsbluff

SOUTH DAKOTA: Rapid City

WYOMING: Casper, Cheyenne, Rock Springs, (Sheridan)

Room 204, Federal Courthouse Bldg.
655-1st Avenue, North
Fargo, North Dakota 58102

MINNESOTA: (Crookston); (Fergus Falls)

NORTH DAKOTA: Bismarck, (Devils Lake); (Dickinson); Fargo, (Grafton); Grand Forks, (Jamestown); Minot

SOUTH DAKOTA: Aberdeen, Huron, Sioux Falls (Watertown); (Yankton)

Room 2215 Federal Office Bldg.
125 South State Street
Salt Lake City, Utah 84138

IDAHO: (Caldwell); (Idaho Falls); Boise, Pocatello, Twin Falls

UTAH: (Cedar City); (Murray); Ogden, Provo, Salt Lake City

WYOMING: Rock Springs

In the SAN FRANCISCO REGION

Suite 26
8050 Florence Avenue
Downey, CA 90240

For the following district and (branch) offices:

CALIFORNIA: Huntington Park, Downey, Norwalk, (Lynwood); Whittier

900 Civic Center Square Bldg.
906 N St.
Fresno, California 93721

For the following district and (branch) offices:

CALIFORNIA: Bakersfield: Downtown, (Southeast); (Deland); Fresno: Downtown, (West); (Hanford); (Madera); (Merced); (Porterville); Visalia

Kuhio Federal Bldg., Room 3209
Box 50066, Room 3209
Honolulu, Hawaii 96850

For the following district and (branch) offices:

(AMERICAN SAMOA)

HAWAII: Honolulu: (Agana); (Guam); (Hilo); (Kahului); (Lihue); (Kauai); (Pago Pago); (Waipahu)

Suite 1010
400 Oceangate
Long Beach, California 90802

For the following district and (branch) offices:
CALIFORNIA: (Lakewood); Long Beach, Los Angeles: (San Pedro); Torrence, Manhattan Beach, Crenshaw Los Angeles: Torrance, Manhattan Beach, Crenshaw

Room 13201
11000 Wilshire Boulevard
Los Angeles, California 90024
(West)

For the following district and (branch) offices:

CALIFORNIA: Canoga Park, (Culver City); Lancaster; Los Angeles: (North Hollywood); (Oxnard); (San Fernando); Santa Barbara, Santa Monica, Van Nuys, Ventura, Marina Del Rey
624 South Grand Avenue
Suite 2300
Los Angeles, CA 90017 (DT)

For the following district and (branch) offices:

California: Inglewood, Downtown, Los Angeles, Monterey Park, Maracle Mile, (El Sereno); (E. Los Angeles); University Village, Wilshire Center

Suite 612
3737 East Century Blvd.
Lynwood, CA 90262

For the following district and (branch) offices:

California: Compton, Watts

Bermuda Building
2150 Franklin Street
Suite 500
Oakland, California 94612

For the following district and (branch) offices:

CALIFORNIA: Berkeley: Downtown, (Southwest); (Fremont); Hayward, (Livermore); Oakland: Downtown, (East); (West; (Pittsburgh); (Richmond); San Leandro; Walnut Creek

Grosvner, Plaza Suite 500
150 South Los Robles Avenue
Pasadena, California 91101

For the following district and (branch) offices:

CALIFORNIA: (Alhambra); (Burbank); Glendale, Downtown, (La Cresenta); (Monrovia); Pasadena; (Elmonte); (West Covina)

Suite 600, Mayer Central Building
3033 North Central Avenue
Phoenix, Arizona 85012

For the following district and (branch) offices:

ARIZONA: (Casa Grande); (Flagstaff); (Glendale); (Mesa); Phoenix: Downtown, (South); Prescott, (Scottsdale)

NEVADA: Las Vegas, (North Las Vegas)

Suite 403
1029 J Street
Sacramento, CA 95814 (DT)

For the following district and (branch) offices:

CALIFORNIA: Chico, Modesto, (Auburn); (Lodi); (Maryville); (Roseville); Redding, Sacramento, Stockton

NEVADA: Reno

362 North Arrowhead Avenue, Suite 201
San Bernardino, California 92401

For the following district and (branch) offices:

CALIFORNIA: (Banning); (Corona); (Fontana); (Hemet); Palm Springs, Pomona, (Redlands), Riverside, San Bernadino, (Victorville)

U.S. Courthouse
940 Front Street, Room 2-N-26
San Diego, CA 92189

For the following district and (branch) offices:

ARIZONA: (Yuma)

CALIFORNIA: (Chula Vista); (El Centro); (Escondido); (La Mesa); San Diego: Downtown, (Linda Vista); (Ocenside); (Southeast)

Suite 320
550 Kearney Street
San Francisco, CA 94108

For the following district and (branch) offices:

CALIFORNIA: San Francisco: (Chinatown); Civic Center, (Hunter's Point); (Inner Mission); (Out Mission); Parhoide, (Western Addition); (Redwood City); San Mateo

PHILIPPINE ISLANDS

Room 800, Community Bank Building
111 West St. John Street
San Jose, California 95113

For the following district and (branch) offices:

CALIFORNIA: (Campbell); (Gilroy); (Monterey); (Pao Alto); Salinas, San Jose: Downtown, (East); San Wis Obispo, (Santa Maria); (Sunnyvale); (Watsonville); Santa Cruz

Room 206
1099 D Street
San Rafael, CA 94901

For the following district and (branch) offices::

CALIFORNIA: Eureka, (Fairfield); (Napa); San Rafael, Santa Rosa, (Ukiah); Vallejo

Suite 702, Federal Bldg.
34 Civic Center Plaza
Santa Ana, CA 92701

For the following district and (branch) offices:

CALIFORNIA: Anaheim, Costa Mesa,
Fullerton, Huntington Beach,
San Juan Capistrano, Santa Ana

Room 3-B, Federal Building
301 West Congress Street
Tucson, Arizona 85701

For the following district and (branch) offices: 5
ARIZONA: (Douglas); Nogales); Tucson: Downtown (South)

In the SEATTLE REGION

Federal Building, Room 430
211 E. Seventh Ave.
Eugene, Oregon 97401

For the following district and (branch) offices:

OREGON: (Bend); (Coos Bay); Eugene, Klamath Falls, Medford, (Roseburg)

800 Terminal Sales Building
1220 S.W. Morrison Street
Portland, Oregon 97205

For the following district and (branch) offices:

OREGON: (Albany); (Astoria); (Beaverton); Portland: Downtown, East, (South); Salem, (The Dalles)

WASHINGTON: (Lonview); Vancouver

Room 3162-Federal Bldg.
915 Second Avenue
Seattle, Washington 98174

For the following district and (branch) offices:

ALASKA: Anchorage, (Fairbanks); Juneau

WASHINGTON: (Aberdeen); Bellevue, Bellingham, Bremerton, (Burien); (Chehalis); Everett, (Lynwood); (Mt. Vernon); Olympia, (Port Angeles); (Puyallup); (Renton); Seattle: Downtown, (North); (South); (West); Tacoma, Yakima

830 Bon Marche Building
214 North Wall Street
Spokane, Washington 99201

For the following district and (branch) offices:

IDAHO: (Coeur D'Arlene); Lewiston

OREGON: La Grande (Ontario); (Pendleton)

WASHINGTON: (Pasco); (Pullman); Spokane, Walla Walla, Wenatchee

The Administrative Law Judges are independent adjudicators. However, they do need certain administrative and logistical support. This support is provided by the Regional Chief Administrative Law Judges, Office of Hearings and Appeals, whose offices are at the following addresses:

In the BOSTON REGION

E-310 John F. Kennedy Federal Building
Boston, Massachusetts 02203

In the NEW YORK REGION

Room 34-130
26 Federal Plaza
New York, New York 10278

In the PHILADELPHIA REGION

Room M300, The Gateway Building
36th and Market Streets
Philadelphia, Pennsylvania 19101

MALING ADDRESS:

P.O. Box 8788
Philadelphia, Pennsylvania 19101

In the ATLANTA REGION

Suite 422
Marietta Tower Bldg.
101 Marietta Street,N.W.
Atlanta, Georgia 30323

In the CHICAGO REGION

16th Floor
300 S. Wacker Drive
Chicago, Illinois 60606

In the DALLAS REGION

Federal Office Building
Room 14B7
1100 Commerce Street
Dallas, Texas 75202

In the KANSAS CITY REGION

Room 505, Federal Office Building
911 Walnut Street
Kansas City, Missouri 64106

In the DENVER REGION

Suite 402
Rio Grande Bldg.
1531 Stout Street
Denver, Colorado 80202

In the SAN FRANCISCO REGION

24th Floor
100 Van Ness Avenue
San Francisco, California 94102

In the SEATTLE REGION

Room 1852
Federal Building
915 Second Avenue
Seattle, Washington 98174

APPENDIX M - Field Assessment Officers

Region I

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSI Analysis Branch
P.O. Box 155
Boston, MA 02110

Region II

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSI Analysis Branch
Room 747, 26 Federal Plaza
New York, NY 10007

Region III

HHS/SSA/Office of Assessment
Field Assessment Officer
P.O. Box 8788
Philadelphia, PA 19101
Region IV

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSI Analysis Branch
19th Floor, Marietta Tower

101 Marietta Avenue
Atlanta, GA 30323

Region V

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSI Analysis Branch

Room 1160
175 West Jackson Street
Chicago, IL 60604

Region VI

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSI Analysis Branch
Room 436
601 East 12th Street
Kansas City, MO 64104

Region VII

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSI Analysis Branch
Room 8-A20
1100 Commerce Street
Dallas, TX 75242

Region VIII

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSA Analysis Branch
P.O. Box 8839
Denver, CO 80201

Region IX

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSI Analysis Branch
25th Floor
100m Van Ness Avenue
San Francisco, CA 94102

Region X

HHS/SSA/Office of Assessment
Field Assessment Officer
Attn: SSI Analysis Branch
Mail Stop 207
Arcade Plaza Building
1321 Second Avenue
Seattle, WA 98101

Central Office

HHS/SSA/Office of Assessment
Director
Division of Assistance and Records Operations Quality
P.O. Box 17040
Baltimore,MD 21235

Region VI
Philadelphia, PA 19101

APPENDIX H Office of Central Operations Electronic Data Centers

Office of Central Operations
Veterans Administration Building
19 N. Main St.,
Wilkes Barre, Pa. 18701

Office of Central Operations
Albuquerque Data Operations Ctr.
933 Bradbury, S.E.
Albuquerque, N.M. 87112

Office of Central Operations
Salinas Data Operation Ctr.
6th Floor No. 8 E. Alisal
Salinas, Calif. 93901

APPENDIX I Availability of Records, Manuals, Etc.

All administrative staff manuals of the Social Security Administration and instruction to staff personnel which contain policies, procedures, or interpretations that affect the public are available for inspection and copying. These manuals are generally not printed in a sufficient quantity to permit sale or other general distribution to the public, but many are maintained at district offices and field offices and may be inspected there (See Appendix F). A complete listing of staff manuals and instructions is published in Social Security Rulings which is available from the Government Printing Office, Washington, D.C. 20402.

The Social Security Act is codified at 42 U.S.C. 301 and the Federal Coal Mine Health and Safety Act may be found at 30 U.S.C. 901.

The Regulations relating to Federal retirement, survivors, and disability insurance and health insurance for the aged, are published in the Code of Federal Regulations under title 20, chapter III, Part 401 et seq.:

A. Part 401 contains Regulation No. 1, Disclosure of Official Records and Information.
B. Part 402, which contained Regulations No. 2, has not been published in the Code beginning with the 1949 edition since Regulations No. 2 applies only to the Social Security Act in effect before 1940.
C. Part 403, which contained Regulations No. 3, has not been published in the Code beginning with the 1965 edition since Regulations No. 3 relates to the period from 1940 to 1950. The extent to which Regulations No. 3 remains in effect is indicated in Sections 404.3(a) of Regulations No. 4.
D. Part 404 contains Regulations No. 4, Federal Old-Age, Survivors, and Disability Insurance (1950-).
E. Part 405 contains Regulations No. 5, Federal Health Insurance for the Aged and Disabled (1965-).
F. Part 410 contains Regulations No. 10, Federal Coal Mine Health and Safety Act of 1969, title IV, Black Lung Benefits (1969-).
G. Part 416 contains Regulations No. 16, Supplemental Security Income (1973-).
H. Part 422 contains Regulations No. 22, Organization and Procedures.

Title 20 of the Code of Federal Regulations (Part 400 to End, revised as of April 1, 1979), can be purchased from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

Requests for accessing an individual's own records should be directed to the systems managers or as otherwise noted under notification procedures in the foregoing notices. Requests for other records and manuals may be made to: (1) the Director, Office of Information, Social Security Administration, 6401 Security Boulevard, Baltimore, Maryland 21235, or (2) the Information Center Officer, at the Regional Offices of the Department of Health and Human Services. The locations and service areas of these offices are as follows:

BOSTON REGION--Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

John F. Kennedy Federal Building
Room 1100A
Boston, Massachusetts 02203

Office Hours: 8:30-5:00

NEW YORK REGION--New York, New Jersey, Puerto Rico, Virgin Islands

Federal Building
Room 745
26 Federal Plaza
New York, New York 10007

Office Hours: 8:30-5:00

PHILADELPHIA REGION--Delaware, Maryland, Pennsylvania, Virginia, West Virginia, District of Columbia

P.O. Box 8788

Philadelphia, Pennsylvania 19101

Office Hours: 8:00-4:30

ATLANTA REGION--Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee

50 Seventh Street, NE
Room 240
Atlanta, Georgia 30323

Office Hours: 8:00-4:30

CHICAGO REGION--Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

300 South Wacker Drive,
Room 2719
Chicago, Illinois 60606

Office Hours: 8:15-4:45

DALLAS REGION--Arkansas, Louisiana, New Mexico, Oklahoma, Texas

Room 2535 1200 Commerce Street
Dallas, Texas 75202

Office Hours: 8:15-4:45

KANSAS CITY REGION--Iowa, Kansas, Missouri, Nebraska

Federal Building, Room 431-A,
601 East 12th Street,
Kansas City, Missouri 64106

Office Hours: 8:00-4:45

DENVER REGION--Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Federal Office Building
Room 8005
1961 Stout Street,
Denver Colorado 80202

Office Hours: 8:00-4:30

SAN FRANCISCO REGION--Arizona, California, Hawaii, Nevada, Guam, Trust Territory of Pacific Islands, American Samoa

100 Van Ness Avenue
26th Floor
San Francisco, California 94102

Office Hours: 8:00-4:30

SEATTLE REGION--Alaska, Idaho, Oregon, Washington

Arcade Plaza Building, MS-614
1321 Second Avenue, Room 6027
Seattle, Washington 98101

Office Hours: 8:00-4:30

APPENDIX J Social Security Administration Data Security Measures

The confidentiality of records has been a cornerstone of Social Security Administration policy from the very beginning of the agency under the mandate of Title 20, Chapter III, Part 401 of the Code of Federal Regulations issued in 1937 and Section 1106 of the Social Security Act (Act) passed by the Congress in 1939. Data security measures begin with the thorough training of employees in the restrictions against disclosure contained in the Act and the Regulations, the criminal sanctions for unauthorized disclosure, and the procedures used to assure that disclosures authorized by statute and regulation are released to the proper parties. The physical security measures established to safeguard records are discussed below:

1. Manually Maintained Records

Manually maintained records are kept in locked file cabinets or in otherwise secure areas. Access to the records is limited to those employees who require the information contained in the records to perform the duties assigned to them. In most cases, the records are selected for the employees needing access to them by other employees who are specifically charged with the maintenance of the records. This restricts the number of persons authorized to be in the storage areas and facilitates the control over the access to the information contained in the records to those who need it. Those records not handled in this manner are securely stored so that unauthorized individuals may not gain access to them.

2. Automated Records

Entry into the computer rooms in the headquarters complex located in Woodlawn, Mayland is restricted to those employees whose duties require such entry. A special pass containing the employee's photograph is issued to all personnel authorized to enter this area. Marshals are stationed at each entrance to assure that only possessors of the special passes are admitted. Magnetic tape records and records stored on other automated devices are kept in a library to which entry is further restricted by a lock whose opening combination is known only to a select few authorized to enter this area. Access to the information contained in these records is controlled by various manual and automated devices. Only employees who require the information to perform their duties may obtain it.

Some automated records are maintained in program service centers located throughout the country (See Appendix A). Entrance to the program service center buildings is restricted to employees with building passes. In addition, special passes identify those employees whose duties require entry into the computer rooms. Access to the information contained in these records is also controlled. Only employees who require the information to perform their duties may obtain it.

Data is transmitted from field offices and program service centers to headquarters and return. For the most part, sensitive and urgent traffic is sent over lines leased by the Social Security Administration for its sole use. The remaining traffic sent directly by wire is sent via lines leased by the Federal Government for use of all Federal agencies. Sometimes the length of the record precluudes direct wire transmission and magnetic tape stored on reels must be used. When this occurs, special procedures assure the delivery of the tape reels to the proper location.

Internal computer security is safeguarded by access codes, edit checks, data reformatting and return address codes. These assure that only authorized access to the computer system is permitted, that the particular data requested from the system can be released to the requester, and that control is maintained over the locations to which systems data may be sent.

APPENDIX K

An individual must present sufficient evidence to establish identity in order to obtain information pertaining to him from the Social Security Administration's records.

Requests for disclosure of information may be made in the following ways:

1. In Person--No special documents of identity are required if a request for disclosure of information is made in person. It is expected that documents an individual would normally carry on his person would be sufficient; the following would be acceptable although this list is not intended to be all-inclusive: credit cards, driver's license, motor vehicle registration card, building pass, voter registration cards, and selective service registration certificate. A social security number card is acceptable only when presented with other evidence.

2. Via Mail--An individual requesting disclosure of information from the Social Security Administration's records via mail must pro-

vide his name, date of birth, and address in order to establish his identity, plus any additional information required (in the system notice) to access his record within a specific system.

3. Via Telephone--An individual requesting disclosure of information via telephone must furnish the same information as listed in 2 above.

APPENDIX L

1. Field Assessment Offices

P.O. Box 155
Boston, Massachusetts 02101

Service Area Includes: Connecticutt, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

P.O. Box A154
Peck Slip Station
New York, New York 10038

Service Area Includes: New Jersey, New York, Puerto Rico, Virgin Islands

P.O. Box 13733
Philadelphia, Pennsylvania 19101

Service Area Includes: Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia

Suite 2001
101 Marietta Tower
Atlanta, Georgia 30323

Service Area Includes: Alabama, North Carolina, South Carolina, Florida, Georgia, Kentucky, Mississippi, Tennessee

300 South Wacker Drive
14th Floor
Chicago, Illinois 60606

Service Area Includes: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

1200 Main Tower
Room 2235
Dallas, Texas 75202

Service Area Includes: Arkansas, Louisiana, New Mexico, Oklahoma, Texas

601 East 12th Street
Room 468
Kansas City, Missouri 64106

Service Area Includes: Iowa, Kansas, Missouri, Nebraska

P.O. Box 8839
Denver, Colorado 80201
Service Area Includes: Colorado, Montana, Norht Dakota, South Dakota Utah, Wyoming

100 Van Ness Avenue
25th Floor
San Francisco, California 94102

Service Area Includes: American Somoa, Arizona, California, Guam, Hawaii, Nevada

Arcade Plaza Building
Mail Stop Number 219
1321 Second Avenue
Seattle, Washington 98101

Service Area Includes: Alaska, Idaho, Oregon, Washington

2. Field Assessment Satellite Offices

a. Boston Service Area

P.O. Box 155
Boston, Massachusetts 02101

P.O. Box 6
Canal Station
Portland, Maine 04112

b. New York Service Area

P.O. Box 7385
Corona-Elmhurst, New York 11373

P.O. Box 1490
New Brunswick, New Jersey 08903

c. Philadelphia Service Area

P.O. Box 8788
Philadelphia, Pennsylvania 19101

725 Kossman Building
Fobes and Stanwix Streets
Pittsburgh, Pennsylvania 15222

2000 Century Plaza
Suite 454
10632 Little Patuxent Parkway
Columbia, Maryland 21044

d. Atlanta Service Area
1568 Willingham Drive
Suite 214-D
College Park, Georgia 30337

P.O. Box 662
Birmingham, Alabama 35201

P.O. Box 17707
Raleigh, North Carolina 27619

1102 Kermit Drive
Suite 104
Nashville, Tennessee 37217

P. O. Box 21000
St. Petersburg, Florida 33742

e. Chicago Service Area

300 South Wacker Drive
Room 1749
Chicago, Illinois 60606

1084 McNamara Building
477 Michigan Avenue
Detroit, Michigan 48226

Federal Building
Room 658
316 Robert Street
St. Paul, Minnesota 55101

Federal Building
Room 284 - 517 East Wisconsin Avenue
Milwaukee, Wisconsin 53202

f. Dallas Service Area

P.O. Box 709
Grand Prairie, Texas 75051

P.O. Box 9770
Metairie, Louisiana 70011

50 Penn Place
Suite 410
Oklahoma City, Oklahoma 73118

g. Kansas City Service Area

P.O. Box 15568
Kansas City, Missouri 64106

h. Denver Service Area

7200 West Alameda
Suite 208
Lakewood, Colorado 80226

Treasure State Building
Room 310
2906 Second Avenue, North
Billings, Montana 59101

P.O. Box 2638
Salt Lake City, Utah 84110

i. San Francisco Service Area

100 Van Ness Avenue
26th Floor
San Francisco, California 94102

4640 Admiralty Way
Suite 201
Marina Del Ray, California 90291

P.O. Box 50048
Honolulu, Hawaii 96850

j. Seattle Service Area

Dexter Horton Building
Room 501
710 Second Avenue
Seattle, Washington 98104

Title 21—Food and Drugs

Chapter I—Food and Drug Administration, Department of Health and Human Services

PART 21—PROTECTION OF PRIVACY

Subpart A—General Provisions

Sec.
21.1 Scope.
21.3 Definitions.
21.10 Policy concerning records about individuals.

Subpart B—Food and Drug Administration Privacy Act Record Systems

21.20 Procedures for notice of Food and Drug Administration Privacy Act Record Systems.
21.21 Changes in systems and new systems.

Subpart C—Requirements for Specific Categories of Records

21.30 Records of contractors.
21.31 Records stored by the General Services Administration and archival records.
21.32 Personnel records.
21.33 Medical records.

Subpart D—Procedures for Notification of and Access to Records in Privacy Act Record Systems

21.40 Procedures for submitting requests for notification and access.
21.41 Processing of requests.
21.42 Responses to requests.
21.43 Access to requested records.
21.44 Verification of identity.
21.45 Fees.

Subpart E—Procedures for Requests for Amendment of Records

21.50 Procedures for submitting requests for amendment of records.
21.51 Responses to requests for amendment of records.
21.52 Administrative appeals of refusals to amend records.
21.53 Notation and disclosure of disputed records.
21.54 Amended or disputed records received from other agencies.

Subpart F—Exemptions

21.60 Policy.
21.61 Exempt systems.
21.65 Access to records in exempt systems.

Subpart G—Disclosure of Records in Privacy Act Record Systems to Persons Other Than the Subject Individual

21.70 Disclosure and intra-agency use of records in Privacy Act Record Systems; no accounting required.
21.71 Disclosure of records in Privacy Act Record Systems; accounting required.
21.72 Individual consent to disclosure of records to other persons.
21.73 Accuracy, completeness, timeliness, and relevance of records disclosed from Privacy Act Record Systems.
21.74 Providing notice that a record is disputed.
21.75 Rights of legal guardians.

Authority: Sec. 201 et seq., Pub. L. 717, 52 Stat. 1040 et seq., as amended (21 U.S.C. 321 et seq.); sec. 1 et seq., Pub. L. 410, 58 Stat. 682 et seq., as amended (42 U.S.C. 201 et seq.); Pub. L. 90–23, 81 Stat. 54–56, as amended (5 U.S.C. 552); Pub. L. 93–579, 88 Stat. 1896 (5 U.S.C. 552a), unless otherwise noted.

Source: 42 FR 15626, Mar. 22, 1977, unless otherwise noted.

Subpart A—General Provisions

§ 21.1 Scope.

(a) This part establishes procedures to implement the Privacy Act of 1974 (5 U.S.C. 552a). It applies to records about individuals that are maintained, collected, used, or disclosed by the Food and Drug Administration and contained in Privacy Act Record Systems.

(b) This part does not:

(1) Apply to Food and Drug Administration record systems that are not Privacy Act Record Systems or make available to an individual records that may include references to him but that are not retrieved by his name or other personal identifier, whether or not contained in a Privacy Act Record System. Part 20 of this chapter (the public information regulations) and other regulations referred to therein determine when records are made available in such cases.

(2) Make any records available to persons other than (i) individuals who are the subjects of the records, (ii) persons accompanying such individuals under § 21.43, (iii) persons provided records pursuant to individual consent under § 21.72, or (iv) persons acting on behalf of such individuals as legal guardians under § 21.75. Part 20 of this chapter (the public information regulations) and other regulations referred to therein determine when Food and Drug Administration records are disclosable to members of the public generally. Subpart G of this part limits the provisions of Part 20 of this chapter with respect to disclosures of records about individuals from Privacy Act Record Systems to persons other than individuals who are the subjects of the records.

(3) Make available information compiled by the Food and Drug Administration in reasonable anticipation of court litigation or formal administrative proceedings. The availability of such information to any member of the public, including any subject individual or party to such litigation or proceeding shall be governed by applicable constitutional principles, rules of discovery, and Part 20 of this chapter (the public information regulations).

(4) Apply to personnel records maintained by the Division of Personnel Management, Food and Drug Administration, except as provided in § 21.32. Such records are subject to regulations of the Office of Personnel Management in 5 CFR Parts 293, 294, and 297.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15626, Mar. 22, 1977, as amended at 46 FR 8457, Jan. 27, 1981]

§ 21.3 Definitions.

As used in this part:

(a) "Individual" means a natural living person who is a citizen of the United States or an alien lawfully admitted for permanent residence. Individual does not include sole proprietorships, partnerships, or corporations engaged in the production or distribution of products regulated by the Food and Drug Administration or with which the Food and Drug Administration has business dealings. Any such business enterprise that is identified by the name of one or more individuals is not an individual within the meaning of this part. Employees of regulated business enterprises are considered individuals. Accordingly, physicians and other health professionals who are engaged in business as proprietors of establishments regulated by the Food and Drug Administration are not considered individuals; however, physicians and other health professionals who are engaged in clinical investigations, employed by regulated enterprises, or the subjects of records concerning their own health, e.g., exposure to excessive radiation, are considered individuals. Food and Drug Administration employees, consultants, and advisory committee members, State and local officials, and consumers are considered individuals.

(b) "Records about individuals" means items, collections, or groupings of information about individuals contained in Privacy Act Record Systems, including, but not limited to education, financial transactions, medical history, criminal history, or employment history, that contain names or personal identifiers.

(c) "Privacy Act Record System" means a system of records about individuals under the control of the Food and Drug Administration from which information is retrieved by individual names or other personal identifiers. The term includes such a system of records whether subject to a

notice published by the Food and Drug Administration, the Department, or another agency. Where records are retrieved only by personal identifiers other than individual names, a system of records is not a Privacy Act Record System if the Food and Drug Administration cannot, by reference to information under its control, or by reference to records of contractors that are subject to this part under § 21.30, ascertain the identity of individuals who are the subjects of the records.

(d) "Personal identifiers" includes individual names, identifying numbers, symbols, or other identifying designations assigned to individuals. "Personal identifiers" does not include names, numbers, symbols, or other identifying designations that identify products, establishments, or actions.

(e) "Personnel records" means any personal information maintained in a Privacy Act Record System that is needed for personnel management programs or processes such as staffing, employee development, retirement, and grievances and appeals.

(f) "Department" means Department of Health and Human Services.

§ 21.10 Policy concerning records about individuals.

Information about individuals in Food and Drug Administration records shall be collected, maintained, used, and disseminated so as to protect the right to privacy of the individual to the fullest possible extent consistent with laws relating to disclosure of information to the general public, the law enforcement responsibilities of the agency, and administrative and program management needs.

Subpart B—Food and Drug Administration Privacy Act Record Systems

§ 21.20 Procedures for notice of Food and Drug Administration Privacy Act Record Systems.

(a) The Food and Drug Administration shall issue in the **Federal Register** on or before August 30 of each year a notice concerning each Privacy Act Record System as defined in § 21.3(c) that is not covered by a notice published by the Department, the Office of Personnel Management, or another agency.

(b) The notice shall include the following information:

(1) The name and location(s) of the system.

(2) The categories of individuals about whom records are maintained in the system.

(3) The categories of records maintained in the system.

(4) The authority for the system.

(5) Each routine use of the records contained in the system (i.e., use outside the Department of Health and Human Services that is compatible with the purpose for which the records were collected and described in the notice) including the categories of users and the purposes of such use.

(6) The policies and practices of the Food and Drug Administration regarding storage, retrievability (i.e., how the records are indexed and what intra-agency uses are made of the records), access controls, retention, and disposal of the records in that system.

(7) The title and business address of the official who is responsible for the system of records.

(8) The notification procedure, i.e., the address of the FDA Privacy Act Coordinator, whom any individual can contact to seek notification whether the system contains a record about him/her.

(9) The record access and contest procedures, which shall be the same as the notification procedure except that a reference shall be included to any exemption from access and contest.

(10) Where any records in the system are subject to an exemption under § 21.61, a reference to this exemption.

(11) The categories of sources of records in the system.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15626, Mar. 22, 1977, as amended at 46 FR 8457, Jan. 27, 1981]

§ 21.21 Changes in systems and new systems.

(a) The Food and Drug Administration shall notify the designated Department official, the Office of Management and Budget (Information Systems Division), and the Congress of proposals to change or establish Privacy Act Record Systems in accordance with procedures of the Department and the Office of Management and Budget.

(b) The Food and Drug Administration shall issue a notice, in accordance with paragraph (d) of this section and § 21.20(b), of any change in a Privacy Act Record System which:

(1) Increases the number or types of individuals about whom records are maintained;

(2) Expands the type or amount of information about individuals that is maintained;

(3) Increases the number of categories of agencies or other persons who may have access to those records;

(4) Alters the manner in which the records are organized so as to change the nature or scope of those records, such as the combining of two or more existing systems;

(5) Modifies the way in which the system operates or its location(s) in a manner that alters the process by which individuals can exercise their rights under this part, such as the ways in which they seek access or request amendment of a record; or

(6) Changes the equipment configuration on which the system is operated so as to create the potential for greater access, such as adding a telecommunications capability.

(c) The Food and Drug Administration shall issue a notice of its intention to establish new Privacy Act Record Systems in accordance with paragraph (d) of this section and § 21.20(b).

(d) Notices under paragraphs (b) and (c) of this section shall be published in the **Federal Register** for comment at least 30 days prior to implementation of the proposed changes or establishment of new systems. Interested persons shall have the opportunity to submit written data, views, or arguments on such proposed new uses or systems.

Subpart C—Requirements for Specific Categories of Records

§ 21.30 Records of contractors.

(a) Systems of records that are required to be operated, or as a matter of practical necessity must be operated, by contractors to accomplish Food and Drug Administration functions, from which information is retrieved by individual names or other personal identifiers, may be subject to the provisions of this part. If the contract is agreed to on or after September 27, 1975, the criminal penalties set forth in 5 U.S.C. 552a(i) are applicable to such contractor, and any employee of such contractor, for disclosures prohibited in § 21.71 or for maintenance of a system of records without notice as required in § 21.20.

(b) A contract is considered to accomplish a Food and Drug Administration function if the proposal or activity it supports is principally operated on behalf of and is under the direct management of the Food and Drug Administration. Systems of records from which information is retrieved by individual names or other personal identifiers and that are operated under contracts to accomplish Food and Drug Administration functions are deemed to be maintained by the agency and shall be subject to the procedures and requirements of this part.

(c) A contract is not considered to accomplish a Food and Drug Administration function if the program or activity it supports is not principally operated on behalf of, or is not under the direct management of, the Food and Drug Administration. For example, this

part does not apply to systems of records:

(1) Operated under contract with the Food and Drug Administration by State or local government agencies, or organizations representing such agencies, when such agencies or organizations are also performing State or local government functions.

(2) Operated by contractors with the Food and Drug Administration by individuals or organizations whose primary function is delivery of health services, such as hospitals, physicians, pharmacists, and other health professionals, and that report information concerning products, e.g., injuries or product defects, to the Food and Drug Administration. Before such contractors submit information to the Food and Drug Administration, the names and other personal identifiers of patients or research subjects in any medical or similar report, test, study, or other research project shall be deleted, unless the contract provides otherwise. If the Food and Drug Administration subsequently needs the names of such individuals, a separate request will be made.

(3) Relating to individuals whom the contractor employs, or with whom the contractor otherwise deals, in the course of providing goods and services to the Food and Drug Administration.

(4) Operated under grants.

(d) The requirements of this part shall apply when a contractor who operates a system of records not subject to this part reports to the Food and Drug Administration information that is a system of records about individuals from which personal information is retrieved by names or other personal identifiers. Where the information would be a new Privacy Act Record System, or a change in an existing Privacy Act Record System of a type described in § 21.21, the Food and Drug Administration shall comply with the requirements of § 21.21.

(e) The Food and Drug Administration will review all contracts before award to determine whether operation of a system from which information is retrieved by individual names or other personal identifiers will be required of the contractor, by the terms of the contract or as a matter of practical necessity. If such operation will be required, the solicitation and contract shall include the following clause, or a clause of similar effect:

Whenever the contractor or any of his employees is required by this contract to operate a system of records from which information is retrieved by individual names or other personal identifiers in order to accomplish a Food and Drug Administration function, the contractor and every employee is considered to be an employee of the Food and Drug Administration and shall operate such system of records in accordance with the Privacy Act of 1974 (5 U.S.C. 552a), regulations of the Food and Drug Administration in 21 CFR Part 21, and rules of conduct that apply to Food and Drug Administration employees who work with such systems of records. The contractor and his employees are subject to the criminal penalties set forth in 5 U.S.C. 552a(i) for violations of the Privacy Act.

§ 21.31 Records stored by the General Services Administration and archival records.

(a) Food and Drug Administration records that are stored, processed, and serviced by the General Services Administration in accordance with 44 U.S.C. 3103 shall be considered to be maintained by the Food and Drug Administration. The General Services Administration shall not disclose the record except to authorized Food and Drug Administration employees.

(b) Each Food and Drug Administration record pertaining to an identifiable individual that was transferred to the National Archives of the United States as a record determined by the National Archives to have sufficient historical or other value to warrant its continued preservation shall be considered to be maintained by the National Archives and shall not be subject to the provisions of this part.

§ 21.32 Personnel records.

(a) Present and former Food and Drug Administration employees desiring access to personnel records about themselves should consult system notices applicable to the agency's personnel records that are published by the Office of Personnel Management and the Department as well as any notice issued by the Food and Drug Administration.

(b)(1) The procedures of the Office of Personnel Management at 5 CFR Parts 293, 294, and 297 rather than the procedures in § 21.33 and Subparts D through F of this part, govern systems of personnel records about Food and Drug Administration employees that are subject to notice published by the Office of Personnel Management, i.e., systems that:

(i) The Office of Personnel Management maintains.

(ii) Are maintained by the Division of Personnel Management, Food and Drug Administration.

(iii) Are maintained by Department Regional Offices, concerning field employees.

(2) The Office of Personnel Management's procedures may, if necessary, be supplemented in the Food and Drug Administration Staff Manual Guide. Current Food and Drug Administration employees should mail or deliver written requests under the Privacy Act for access to personnel records described in this paragraph to the Office of Personnel Management in accordance with 5 CFR 297.106, the Director, Division of Personnel Management (HFA–400), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, or the personnel officer in the servicing HHS Regional Personnel Office. An employee may consult with or direct his or her request to the FDA Privacy Act Coordinator (HFI–30). Requests for access to personnel records of former employees that are located in Federal Records Centers should be directed to the Office of Personnel Management. Requests under the Privacy Act for amendment of personnel records should be directed to these same officials who are responsible for access to personnel records under this paragraph.

(3) With respect to records subject to paragraph (b)(1) of this section:

(i) Refusal to grant access to a record, or refusal to amend a record upon request of an employee, shall only be made by the Associate Commissioner for Management and Operations or his or her designate; and

(ii) Appeals of refusals under paragraph (b)(3)(i) of this section may be made to the Office of Personnel Management in accordance with 5 CFR 297.108(g)(3) and 297.113(b).

(c) Any other Privacy Act Record Systems that contain personnel records, or records that otherwise concern agency employees, that are maintained by offices of the Food and Drug Administration rather than the Division of Personnel Management but which are not subject to the Department's notice for personnel records in operating offices are subject to this part, except that refusals under this part to grant access to or amend records about present or former employees shall be made by the Associate Commissioner for Management and Operations rather than the Associate Commissioner for Public Affairs.

(d) The following procedures shall govern requests under the Privacy Act for personnel records that are maintained by the operating offices of the Food and Drug Administration in which employees work:

(1) An employee shall upon request be told whether records about him are maintained. An employee shall be given access to records about himself that are subject to this paragraph in response to an oral or written request and through

informal procedures, rather than the procedures specified in §§ 21.40 through 21.43.

(2) Employee identity may be verified, if necessary, by an FDA ID card rather than in accordance with § 21.44.

(3) Generally no fee shall be charged for records requested under this paragraph. However, in cases where the records requested are voluminous, a fee may be charged in accordance with § 21.45.

(4) Records that are subject to this paragraph shall be available for access to an individual, except to the extent that access is refused by the Associate Commissioner for Management and Operations or his or her designate on the grounds that the record is subject to an exemption under § 21.61 or 5 CFR 297.111.

(5) Requests under the Privacy Act for amendment of records subject to this paragraph should be directed to the Director, Division of Personnel Management (HFA–400). Such requests shall be reviewed in accordance with Subpart E of this part. Refusals to amend a record subject to this paragraph (d)(5) shall only be made by the Associate Commissioner for Management and Operations or his or her designate.

(6) Appeals of refusals under paragraph (d)(4) or (5) of this section may be made to the Commissioner of Food and Drugs, except where the Associate Commissioner for Management and Operations or his or her designate indicates with his or her refusal that the appeal should be made to the Office of Personnel Management.

(7) Disclosures of records subject to this paragraph are subject to Subpart G of this part.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15620, Mar. 22, 1977, as amended at 46 FR 8457, Jan. 27, 1981]

§ 21.33 Medical records.

(a) In general, an individual is entitled to have access to any medical records about himself in Privacy Act Record Systems maintained by the Food and Drug Administration.

(b) The Food and Drug Administration may apply the following special procedures in disclosing medical records to an individual:

(1) The agency may review the records to determine whether disclosure of the record to the individual who is the subject of the records might have an adverse effect on him. If it is determined that disclosure is not likely to have an adverse effect on the individual, the record shall be disclosed to him. If it is determined that disclosure is very likely to have an adverse effect on the individual, he may be requested to designate, in writing, a representative to whom the record shall be disclosed. Such representative may be a physician, other health professional, or other responsible person who would be willing to review the record and discuss it with the individual.

(2) The availability of the record may be subject to any procedures for disclosure to an individual of medical records about himself under Part 20 of this chapter, in addition to or in lieu of the procedures in paragraph (b)(1), that are not inconsistent with § 21.41(f).

Subpart D—Procedures for Notification of and Access to Records in Privacy Act Record Systems

§ 21.40 Procedures for submitting requests for notification and access.

(a) An individual may request that the Food and Drug Administration notify him whether a Privacy Act Record System contains records about him that are retrieved by reference to his name or other personal identifier. An individual may at the same time, or after receiving notification that such a record about him exists, requests that he be given access to the record.

(b) An individual desiring notification or access to records shall mail or deliver a request for records in any Food and Drug Administration Privacy Act Records System to the FDA Privacy Act Coordinator (HFI–30), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

(c) Requests shall be in writing and shall name the Privacy Act Record System or Systems concerning which the individual requests notification of whether there are records about him that are retrieved by reference to his name or other personal identifier. To help assure a prompt response, an individual should indicate that he is making a "Privacy Act Request" on the envelope and in a prominent manner in the letter.

(d) An individual who merely wishes to be notified whether a Privacy Act Record System contains a record about him ordinarily need not provide any verification of his identity other than his name. The mere fact that the Food and Drug Administration has a record about an individual in any of its Privacy Act Records Systems would not be likely to constitute a clearly unwarranted invasion of personal privacy. Where mere disclosure of the fact that a record about the individual exists would be a clearly unwarranted invasion of personal privacy, further verification of the identity of the individual shall be required.

(e) An individual who requests that he be given access to a copy of records about himself, if any exist, should indicate whether he prefers (1) to have copies of any such records mailed to him in accordance with § 21.43(a)(1), which may involve a fee under § 21.45, including information to verify his identity under § 21.44 or (2) to use the procedures for access in person under § 21.43(a)(2).

(f) A request for notification and access may be submitted under this subpart concerning any Privacy Act Record System that is exempt under § 21.61, as indicated in the notice for the system. An individual seeking access to records under § 21.65(b)(2) to investigatory records compiled for law enforcement purposes other than criminal law enforcement purposes should submit a description of the right, benefit, or privilege that he believes he was denied as the result of the Food and Drug Administration's maintenance of the records. Where the system is exempt under § 21.61, and access to the requested records is not granted under § 21.65, the request shall be handled under the provisions of Part 20 of this chapter (the public information regulations).

(g) The Freedom of Information Staff shall maintain and make available copies of the forms (OF–203 Privacy Act Request forms) to assist individuals in filing requests under §21.40.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15620, Mar. 22, 1977, as amended at 46 FR 8458, Jan. 27, 1981]

§ 21.41 Processing of requests.

(a) An individual or his guardian under § 21.75 shall not be required to show any justification or need to obtain notification under § 21.42 or access to a record under § 21.43.

(b) The Food and Drug Administration will determine whether a request by an individual for records about himself is appropriately treated as a request under this subpart, or under the provision of Part 20 of this chapter (the public information regulations), or both. Where appropriate, the Food and Drug Administration will consult with the individual concerning the appropriate treatment of the request.

(c) The FDA Privacy Act Coordinator (HFI–30) in the Freedom of Information Staff shall be responsibile for the handling of Privacy Act requests received by the Food and Drug Administration. Requests mailed or delivered to any other office shall be promptly redirected to the FDA Privacy Act Coordinator. Where this procedure would unduly delay the agency's

response, however, the agency employee who received the request should consult with the FDA Privacy Act Coordinator and obtain advice as to whether the employee can respond to the request directly.

(d) Upon receipt of a request by the FDA Privacy Act Coordinator, a record shall promptly be made that a request has been received and the date.

(e) A letter in accordance with § 21.42 responding to the request for notification shall issue as promptly as possible after receipt of the request by the Food and Drug Administration. Upon determination by the Freedom of Information Staff that a request for access to records is appropriately treated as a request under Part 20 of this chapter rather than Part 21, or under both parts, the time limitations prescribed in § 21.41 shall apply. In any case, access to available records shall be provided as promptly as possible.

(f) Except as provided in § 21.32, an individual's access to records about him/herself that are retrieved by his/her name or other personal identifiers and contained in any Privacy Act Record System may only be denied by the Associate Commissioner for Public Affairs or his or her designate. An individual shall not be denied access to any record that is otherwise available to him/her under this part except on the grounds that it is exempt under § 21.65(a)(2), that it was compiled in reasonable anticipation of court litigation of formal administrative proceedings, or to the extent that it is exempt or prohibited from disclosure because it includes a trade secret or commercial or financial information that is privileged or confidential information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy of another individual.

(g) The FDA Privacy Act Coordinator shall ensure that records are maintained of the number, status, and disposition of requests under this subpart, including the number of requests for records exempt from access under this subpart and other information required for purposes of the annual report to Congress under the Privacy Act. These temporary administrative management records shall not be considered to be Privacy Act Record Systems. All records required to be kept under this paragraph shall only include requesting individuals' names or personal identifiers for so long as any request for notification, access, or amendment is pending. The identity of individuals making request under this subpart shall be regarded as confidential and shall not be disclosed under Part 20 of this chapter (the public information regulations) to any other person or agency except as is necessary for the processing of requests under this subpart.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15636, Mar. 22, 1977, as amended at 46 FR 8458, Jan. 27, 1981]

§ 21.42 Responses to requests.

(a) The FDA shall respond to an individual's request for notification as to whether a Privacy Act Record System contains records about him that are retrieved by his name or other personal identifier by sending a letter under this paragraph.

(1) If there are no records about the individual that are retrieved by his name or other personal identifier in the named Privacy Act Record System, or the requester is not an "individual" under § 21.3(a), the letter shall so state. Where appropriate, the letter shall indicate that the Food and Drug Administration's public information regulations in Part 20 of this chapter prescribe general rules governing the availability of information to members of the public, and that a request may be made in accordance with Part 20 of this chapter for records that are not retrieved by the requester's name or other personal identifier from a Privacy Act Record System.

(2) If there are records about the individual that are retrieved by his name or other personal identifier and the named Privacy Act Record System is not exempt from individual access and contest under § 21.61, or the system is exempt but access is allowed or required under § 21.65, the letter shall inform him that the records exist and shall either:

(i) Enclose a copy of the records under § 21.43(a)(1) or indicate that the records will be sent under separate cover, where there has been adequate verification of the identity of the individual under § 21.44 and the fees under § 21.45 do not exceed $25, or

(ii) Inform the individual of the procedures to obtain access to the records by mail or in person under § 21.43(a)(2), as well as the approximate dates by which the requested records can be provided (if the records are not then available), the locations at which access in person may be had, and the information needed, if any, to verify the identity of the individual under § 21.44.

(3) If the named Privacy Act Record System contains records about the individual that are retrieved by his name or other personal identifier, and the system is exempt from individual access and contest under § 21.61 and access is not allowed or required under § 21.65, the letter should inform him that the records are exempted from access and contest by § 21.61. The letter shall also inform him if the records sought are not available because they were compiled in reasonable anticipation of court litigation or formal administrative proceedings or are otherwise not available under § 21.41(b). Where appropriate, the letter shall also indicate whether the records are available under Part 20 of this chapter (the public information regulations), and it may disclose the records in accordance with Part 20.

(4) If the named Privacy Act Record System contains records about the individual that are retrieved by his name or other personal identifier, but a final determination has not yet been made with respect to disclosure of all of the records covered by the request, e.g., because it is necessary to consult another person or agency having an interest in the confidentiality of the records, the letter shall explain the circumstances and indicate when a final answer will be given.

(b) Except as provided in § 21.32, access to a record may only be denied by the Associate Commissioner for Public Affairs or his or her designate. If access to any record is denied wholly or in substantial part, the letter shall state the right of the individual to appeal to the Commissioner of Food and Drugs.

(c) If a request for a copy of the records will result in a fee of more than $25, the letter shall specify or estimate the fee involved. Where the individual has requested a copy of any records about him and copying the records would result in a fee of over $50, the Food and Drug Administration shall require advance deposit as well as payment of any amount not yet received as a result of any previous request by the individual for a record about himself, under this subpart or Part 20 of this chapter (the public information regulations) before the records are made available. If the fee is less than $50, prepayment shall not be required unless payment has not yet been received for records disclosed as a result of a previous request by the individual for a record about himself under this subpart or Part 20 of this chapter.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15636, Mar. 22, 1977, as amended at 46 FR 8458, Jan. 27, 1981]

§ 21.43 Access to requested records.

(a) Access may be granted to requested records by:

(1) Mailing a copy of the records to the requesting individual, or

(2) Permitting the requesting individual to review the records in person between 9 a.m. and 4 p.m. at the office of the FDA Privacy Act Coordinator, at the Freedom of Information Staff Public Room at the address shown in § 20.30 of this chapter, or at any Food and Drug Administration field office listed in § 5.115 of this chapter or at another location or time upon which the Food and Drug Administration and the individual agree. Arrangement for such review can be made by consultation between the FDA Privacy Act Coordinator and the individual. An individual seeking to review records in person shall generally be permitted access to the file copy, except that where the records include nondisclosable information, a copy shall be made of that portion of the records, with the nondisclosable information blocked out. Where the individual is not given a copy of the record to retain, no charge shall be made for the cost of copying a record to make it available to an individual who reviews a record in person under this paragraph.

(b) An individual may request that a record be disclosed to or discussed in the presence of another individual, such as an attorney. The individual may be required to furnish a written statement authorizing the disclosure or discussion in such other individual's presence.

(c) The Food and Drug Administration will make every reasonable effort to assure that records made available under this section can be understood by the individual, such as by providing an oral or written explanation of the records.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15628, Mar. 22, 1977, as amended at 46 FR 8458, Jan. 27, 1981]

§ 21.44 Verification of identity.

(a) An individual seeking access to records in a Privacy Act Record System may be required to comply with reasonable requirements to enable the Food and Drug Administration to determine his identity. The identification required shall be suitable considering the nature of the records sought. No identification shall be required to receive access to information that is required to be disclosed to any member of the public under Part 20 of this chapter (the public information regulations).

(b) An individual who appears in person for access to records about himself shall be required to provide at least one document to identify himself, e.g., driver's license, passport, or alien or voter registration card to verify his identity. If an individual does not have any such document or requests access to records about himself without appearing in person under circumstances in which his identity cannot be verified from the request itself, he shall be required to certify in writing that he is the individual he claims to be and that he understands that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense subject to a $5,000 fine.

(c) In making requests under § 21.75, a parent of a minor child or legal guardian of an incompetent individual may be required to verify his relationship to the minor child or the incompetent individual, in addition to verifying his own identity, by providing a copy of the minor's birth certificate, a court order, or other evidence of guardianship.

(d) Where an individual seeks access to particularly sensitive records, such as medical records, the individual may be required to provide additional information beyond that specified in paragraph (b) or (c) of this section, such as the individual's years of attendance at a particular educational institution, rank attained in the uniformed services, date or place of birth, names of parents, an occupation, or the specific times the individual received medical treatment.

§ 21.45 Fees.

(a) Where applicable, fees for copying records shall be charged in accordance with the schedule set forth in this section. Fees may only be charged where an individual has requested that a copy be made of a record to which he is granted access. No fee may be charged for making a search of a Privacy Act Record System whether the search is manual, mechanical, or electronic. Where a copy of the record must be made to provide access to the record, e.g., computer printout where no screen reading is available, the copy shall be made available to the individual without cost. Where a medical record is made available to a representative designated by the individual under § 21.33, no fee will be charged.

(b) The fee schedule is as follows:

(1) Copying of records susceptible to photocopying—$.10 per page.

(2) Copying of records not susceptible to photocopying, e.g., punch cards or magnetic tapes—at actual cost to the determined on a case-by-case basis.

(3) No charge will be made if the total amount of copying for an individual does not exceed $25.

(c) When a fee is to be assessed, the individual shall be notified prior to the processing of the copies, and be given an opportunity to amend his request. Payment shall be made by check or money order made payable to the "Food and Drug Administration," and shall be sent to the Accounting Operations Branch (HFA–210), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857. Advance deposit shall be required where the total amount exceeds $50.

Subpart E—Procedures for Requests for Amendment of Records

§ 21.50 Procedures for submitting requests for amendment of records.

(a) An individual who received access to a record about himself under Subpart D of this part may request that the record be amended if he believes that the record or an item of information is not accurate, relevant to a Food and Drug Administration purpose, timely, or complete.

(b) Amendments under this subpart shall not violate existing statute, regulation, or administrative procedure.

(1) This subpart does not permit alteration of evidence presented in the course of judicial proceedings or Food and Drug Administration adjudicatory or rule making proceedings or collateral attack upon that which has already been the subject of any such proceedings.

(2) If the accuracy, relevancy, timeliness, or completeness of the records may be contested in any other pending or imminent agency proceeding, the Food and Drug Administration may refer the individual to the other proceeding as the appropriate means to obtain relief. If the accuracy, relevance, timeliness, or completeness of a record is, or has been, an issue in another agency proceeding, the request under this section shall be disposed of in accordance with the decision in the other proceeding, absent unusual circumstances.

(c) Requests to amend records shall be submitted, in writing, to the FDA Privacy Act Coordinator in accordance with § 21.40(b). Such requests shall include information sufficient to enable the Food and Drug Administration to locate the record, a brief description of the items of information requested to be amended, and the reasons why the record should be amended together with any appropriate documentation or arguments in support of the requested amendment. An edited copy of the record showing the described amendment may be included. Verification of identity should be provided in accordance with § 21.44.

(d) Written acknowledgement of the receipt of a request to amend a record shall be provided within 10 working days to the individual who requested

the amendment. Such acknowledgement may request any additional information needed to verify identity or make a determination. No acknowledgement need be made if the request can be reviewed, processed, and the individual notified of the agency's agreement with the request or refusal within the 10-day period.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15628, Mar. 22, 1977, as amended at 46 FR 8459, Jan. 27, 1981]

§ 21.51 Responses to requests for amendment of records.

(a) The Food and Drug Administration shall take one of the following actions on a request for amendment of records as promptly as possible:

(1) Amend any portion of the record which the agency has determined, based upon a preponderance of the evidence, is not accurate, relevant to a Food and Drug Administration purpose, timely, or complete, and, in accordance with paragraph (d)(3) of this section, inform the individual and previous recipients of the record that has been amended of the amendment.

(2) Inform the individual of its refusal to amend any portion of the record in the manner requested, the reason for the refusal, and the opportunity for administrative appeal to the Commissioner of Food and Drugs. Except as provided in § 21.32, such refusal may only be issued by the Associate Commissioner for Public Affairs or his or her designate.

(3) Where another agency was the source of and has control of the record, refer the request to that agency.

(b) The agency may, for good cause, extend the period for taking action an additional 30 working days if notice is provided to the individual explaining the circumstances of the delay.

(c) The officials charged with reviewing a record to determine how to respond to a request to amend it, shall assess its accuracy, relevance to a Food and Drug Administration purpose, timeliness, or completeness. The determination shall be made in the light of the purpose for which the records or system is used, the agency's need for the record, and the possible adverse consequences to the individual from the record if not amended. Whenever the Food and Drug Administration receives a request for deletion of a record, or portions of a record, it shall consider anew whether the contested information in the record is relevant and necessary to a Food and Drug Administration purpose.

(d) If the Food and Drug Administration agrees with an individual's request, it shall take the following actions:

(1) So inform the individual in writing.

(2) In accordance with statute, regulation, or procedure, amend the record to make it accurate, relevant to a Food and Drug Administration purpose, timely, or complete, making note of the date and fact of the amendment.

(3) If an accounting was made under § 21.71(d) of a disclosure of the record under § 21.71(a), provide a copy of the record as amended, to all previous recipients of the record.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15628, Mar. 22, 1977, as amended at 46 FR 8459, Jan. 27, 1981]

§ 21.52 Administrative appeals of refusals to amend records.

(a) If an individual disagrees with a refusal under § 21.51(a)(2) to amend a record, he may appeal that refusal to the Commissioner of Food and Drugs, Rm. 14–81, 5600 Fishers Lane, Rockville, MD 20857.

(b) If, upon appeal, the Commissioner upholds the refusal to amend the record as requested, he shall inform the individual:

(1) Of his decision and the reasons for it.

(2) Of the individual's right to file with the Food and Drug Administration a concise statement of the individual's reasons for disagreeing with the agency's decision not to amend the record as requested.

(3) That the statement of disagreement will be made available to all persons listed in an accounting as having previously received the record and any person to whom the record is subsequently disclosed together with, in the discretion of the Food and Drug Administration, a brief statement summarizing its reasons for refusing to amend the record. Any individual who includes false information in the statement of disagreement filed with the Food and Drug Administration may be subject to penalties under 18 U.S.C. 1001, the False Reports to the Government Act.

(4) That the individual has a right to seek judicial review of the refusal to amend the record.

(c) If the Commissioner on administrative appeal or a court on judicial review determines that the record should be amended in accordance with the individual's request, the Food and Drug Administration shall proceed in accordance with § 21.51(d).

(d) A final determination on the individual's administrative appeal of the initial refusal to amend the record shall be concluded within 30 working days of the request for such review under paragraph (a) of this section, unless the Commissioner extends such period for good cause and informs the individual in writing of the reasons for the delay and of the approximate date on which a decision of the appeal can be expected.

§ 21.53 Notation and disclosure of disputed records.

When an individual has filed a statement of disagreement under § 21.52(b)(2), the Food and Drug Administration shall:

(a) Mark any portion of the record that is disputed to assure that the record will clearly show that portion is disputed whenever the record is disclosed.

(b) In any subsequent disclosure under § 21.70 or § 21.71(a), provide a copy of the statement of disagreement and, if the Food and Drug Administration deems it appropriate, a concise statement of the agency's reasons for not making the amendment(s) requested. While the individual shall have access to any such statement, it shall not be subject to a request for amendment under § 21.50.

(c) If an accounting was made under § 21.71(d) and (e) of a disclosure of the record under § 21.71(a), provide to all previous recipients of the record a copy of the statement of disagreement and the agency statement, if any.

§ 21.54 Amended or disputed records received from other agencies.

Whenever the Food and Drug Administration is notified that a record that it received from another agency was amended or is the subject of a statement of disagreement, the Food and Drug Administration shall:

(a) Discard the record, or clearly note the amendment or the fact of disagreement in its copy of the record, and

(b) Refer persons who subsequently request the record to the agency that provided it.

(c) If an accounting was made under § 21.71 (d) and (e) of the disclosure of the record under § 21.71(a), inform all previous recipients of the record about the amendment or provide to them the statement of disagreement and the agency statement, if any.

Subpart F—Exemptions

§ 21.60 Policy.

It is the policy of the Food and Drug Administration that record systems should be exempted from the Privacy Act only to the extent essential to the performance of law enforcement functions under the laws that are

administered and enforced by the Food and Drug Administration or that govern the agency.

§ 21.61 Exempt systems.

(a) Investigatory records compiled for law enforcement purposes, including criminal law enforcement purposes, in the Food and Drug Administration Privacy Act Record Systems listed in paragraph (b) of this section are exempt from the following provisions of the Privacy Act (5 U.S.C. 552a) and of this part:

(1) Such records are exempt from 5 U.S.C. 552a(c)(3) and § 21.71(e)(4), requiring that an individual be provided with the accounting of disclosures of records about himself from a Privacy Act Record System.

(2) Except where access is required under 5 U.S.C. 552a(k)(2) and § 21.65(a)(2), (such records are exempt from 5 U.S.C. 552a(d)(1) through (4) and (f)) and §§ 21.40 through 21.54, requiring procedures for an individual to be given notification of and access to records about himself in a Privacy Act Record System and to be allowed to challenge the accuracy, relevance, timeliness, and completeness of such records.

(3) Such records are exempt from 5 U.S.C. 552a(e)(4)(G) and (H) and § 21.20(b)(1) requiring inclusion in the notice for the system of information about agency procedures for notification, access, and contest.

(4) Such records are exempt from 5 U.S.C. 552a(e)(3) requiring that individuals asked to supply information be provided a form outlining the authority for the request, the purposes for which the information will be used, the routine uses in the notice for the Privacy Act Record System, and the consequences to the individual of not providing the information, but only with respect to records compiled by the Food and Drug Administration in a criminal law enforcement investigation where the conduct of the investigation would be prejudiced by such procedures.

(b) Records in the following Food and Drug Administration Privacy Act Record Systems that concern individuals who are subject to Food and Drug Administration enforcement action and consist of investigatory records compiled for law enforcement purposes, including criminal law enforcement purposes, are exempt under 5 U.S.C. 552a(j)(2) and (k)(2) from the provisions enumerated in paragraph (a) of this section:

(1) Bio-research Monitoring Information System—HHS/FDA/BD/09-10-0010.

(2) Regulated Industry Employee Enforcement Records—HHS/FDA/ACMO/09-10-0002.

(3) Employee Conduct Investigative Records—HHS/FDA/ACMO/09-10-0013.

(4) Service Contractor Employee Investigative Records—HHS/FDA/ACMO/09-10-0014.

(c) The systems described in paragraph (b)(3) and (4) of this section include investigatory records compiled solely for the purpose of determining suitability, eligibility, or qualification for Federal civilian employment, military service, Federal contracts, and access to classified information. These records are exempt from disclosure under 5 U.S.C. 552a(k)(5) to the extent that the disclosure would reveal the identity of a source who furnished information to the Government under a promise of confidentiality, which must be an express promise if the information was furnished after September 27, 1975. Any individual who is refused access to a record that would reveal a confidential source shall be advised in a general way that the record includes information that would reveal a confidential source.

(Sec. 701(a), 52 Stat. 1055 (21 U.S.C. 371(a)))

[42 FR 15626, Mar. 22, 1977, as amended at 46 FR 8459, Jan. 27, 1981]

§ 21.65 Access to records in exempt systems.

(a) Where a Privacy Act Record System is exempt and the requested records are unavailable under § 21.61, an individual may nevertheless make a request under § 21.40 for notification concerning whether any records about him exist and request access to such records where they are retrieved by his name or other personal identifier.

(b) An individual making a request under paragraph (a) of this section:

(1) May be given access to the records where available under Part 20 of this chapter (the public information regulations) or the Commissioner may, in his discretion, entertain a request under any or all of the provisions of §§ 21.40 through 21.54; and

(2) Shall be given access upon request if the records requested are subject to 5 U.S.C. 552a(k)(2) and not to 5 U.S.C. 552a(j)(2) (i.e., because they consist of investigatory material compiled for law enforcement purposes other than criminal law enforcement purposes) and maintenance of the records resulted in denial to the individual of any right, benefit, or privilege to which he would otherwise be entitled by Federal law, or for which he would otherwise be eligible. An individual given access to a record under this paragraph (b)(2) is not entitled to seek amendment under Subpart E of this part. The FDA may refuse to disclose a record that would reveal the identity of a source who furnished information to the Government under a promise of confidentiality, which must be an express promise if the information was furnished on or after September 27, 1975. Any individual refused access to a record that would reveal a confidential source shall be advised in a general way that the record contains information that would reveal a confidential source.

(c) The Commissioner shall not make available any record that is prohibited from public disclosure under § 20.82(b) of this chapter.

(d) Discretionary disclosure of a record pursuant to paragraph (b)(1) of this section shall not set a precedent for discretionary disclosure of a similar or related record and shall not obligate the Commissioner to exercise his discretion to disclose any other record in a system that is exempt under § 21.61.

Subpart G—Disclosure of Records in Privacy Act Record Systems to Persons Other Than the Subject Individual.

§ 21.70 Disclosure and intra-agency use of records in Privacy Act Record Systems; no accounting required.

(a) A record about an individual which is contained in a Privacy Act Record System may be disclosed:

(1) To the individual who is the subject of the record, or his legal guardian under § 21.75;

(2) To a third party pursuant to a written request by, or within a written consent of, the individual to whom the record pertains, or his legal guardian under § 21.75;

(3) To any person:

(i) Where the names and other identifying information are first deleted, and under circumstances in which the recipient is unlikely to know the identity of the subject of the record;

(ii) Where disclosure is required by Part 20 of this chapter (the public information regulations); or

(4) Within the Department of Health and Human Services to officers and employees who have a need for the record in the performance of their duties in connection with the laws administered and enforced by the Food and Drug Administration or that govern the agency. For purposes of this section, officers or employees of the Department shall include the following categories of individuals, who shall thereafter be subject to the same restrictions with respect to disclosure as any Food and Drug Administration employee: Food

and Drug Administration consultants and advisory committees, State and local government employees for use only in their work with the Food and Drug Administration, and contractors and their employees to the extent that the records of such contractors are subject to the requirements of this part under § 21.80.

(b) No accounting is required for any disclosure or use under paragraph (a) of this section.

§ 21.71 Disclosure of records in Privacy Act Record Systems; accounting required.

(a) Except as provided in § 21.70, a record about an individual that is contained in a Privacy Act Record System shall not be disclosed by any method of communication except under any of the following circumstances, which are subject to the limitations of paragraphs (b) and (c) of this section and to the accounting requirement of paragraph (d) of this section:

(1) For a use described as a "routine use" in the notice for the system under § 21.20(b)(5) that is compatible with the purpose for which the record was collected.

(2) To the Bureau of Census for a census, survey, or a related activity pursuant to Title 13 of the United States Code.

(3) To a recipient who has provided advance assurance, pursuant to paragraph (c)(2) of this section that the record will be used solely as a statistical research or reporting record and will not be communicated by the recipient to any other person except in a form that is not individually identifiable.

(4) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation, or to the General Services Administration for evaluation to determine whether the record has such value.

(5) To a Federal, State, or local agency for purposes of a law enforcement activity that is authorized by law, upon written request by the head of the agency specifying the particular portion of the record that is desired and the law enforcement purpose for which the record is sought. Disclosures under this paragraph are in addition to any disclosures for law enforcement purposes described as a "routine use" in a notice for a Privacy Act Record System.

(6) To a person pursuant to a showing of compelling circumstances affecting the health and safety of an individual, not necessarily the individual to whom the record pertains. Upon such disclosure, the Food and Drug Administration shall mail a notification of the fact of disclosure to the last known address of the individual who is the subject of the record.

(7) To either House of Congress, or to any Subcommittee or Committee thereof, to the extent that the subject matter of the record falls within its jurisdiction.

(8) To the General Accounting Office.

(9) Pursuant to an order of the court of competent jurisdiction. Upon such court-ordered disclosure, the Food and Drug Administration shall make reasonable efforts to notify the individual in accordance with § 20.83(b) of this chapter.

(b) The Food and Drug Administration may in its discretion refuse to make a disclosure permitted under paragraph (a) of this section, if the disclosure would in the judgment of the agency, invade the privacy of the individual or be inconsistent with the purpose for which the information was collected.

(c) The Food and Drug Administration may require any person requesting a disclosure of a record under paragraph (a) of this section to provide:

(1) Information about the purposes to which the disclosed record is to be put, and

(2) A written statement certifying that the record will be used only for the stated purposes and will not be further disclosed without the written permission of the Food and Drug Administration.

Under 5 U.S.C. 552a(i)(3), any person who knowingly or willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000. Such person may also be subject to prosecution under the False Reports to the Government Act, 18 U.S.C. 1001.

(d) An accounting shall be made, in accordance with paragraph (e) of this section, of any disclosure under paragraph (a) of this section of a record that is not a disclosure under § 21.70.

(e) Where an accounting is required under paragraph (d) of this section, the Food and Drug Administration shall:

(1) Record the name and address of the person or agency to whom the disclosure is made and the date, nature, and purpose of the disclosure. The accounting shall not be considered a Privacy Act Record System.

(2) Retain the accounting for 5 years or for the life of the record, whichever is longer, following the disclosure.

(3) Notify those recipients listed in the accounting of amendments or disputes concerning the records previously disclosed to them pursuant to §§ 21.51(d)(3), 21.53(c), or 21.54(c).

(4) Except when the record is exempt from individual access and contest under § 21.61 or to the extent that the accounting describes a transfer for a law enforcement purpose pursuant to paragraph (a)(5) of this section, make the accounting available to the individual to whom the record pertains, in accordance with procedures of Subpart D of this part.

(f) A single accounting may be used to cover disclosure(s) that consist of a continuing dialogue between two agencies over a prolonged period, such as discussion of an enforcement action between the Food and Drug Administration and the Department of Justice. In such cases, a general notation may be made that, as of a certain date, contract was initiated, to continue until resolution of the matter.

§ 21.72 Individual consent to disclosure of records to other persons.

(a) Individuals may consent to disclosure of records about themselves to other persons in several ways, for example:

(1) An individual may give consent at the time that the information is collected for disclosure for specific purposes or to specific persons.

(2) An individual may give consent for disclosure of his records to a specific person.

(3) An individual may request the Food and Drug Administration to transcribe a specific record for submission to another person.

(b) In each case the consent shall be in writing and shall specify the individual, organizational unit, or class of individuals or organizational units to whom the record may be disclosed, which record may be disclosed, and, if applicable, for what time period. A blanket consent to release all of an individual's records to unspecified individuals or organizational units will not be honored. Verification of the identity of the individual and, where applicable, of the person to whom the record is to be disclosed shall be made in accordance with § 21.44. Consent documents shall be retained for a period of at least 2 years. If such documents are used as a means of accounting for the disclosure, they shall be retained as provided in § 21.71(e)(2).

§ 21.73 Accuracy, completeness, timeliness, and relevance of records disclosed from Privacy Act Record Systems.

(a) The Food and Drug Administration shall make reasonable efforts to assure that a record about an individual in a Privacy Act Record System is accurate, relevant to a Food and Drug

Administration purpose, timely, and complete before such record is disclosed under § 21.71.

(b) Paragraph (a) of this section shall not apply to disclosures that are required under Part 20 of this chapter (the public information regulations) or made to other Federal Government departments and agencies. Where appropriate, the letter disclosing the information shall indicate that the Food and Drug Administration has not reviewed the record to assure that it is accurate, relevant, timely, and complete.

§ 21.74 Providing notice that a record is disputed.

Whenever an individual has filed a statement of disagreement with the Food and Drug Administration concerning a refusal to amend a record under § 21.51(a)(2) or with another agency that provides the record to the Food and Drug Administration, the Food and Drug Administration shall in any subsequent disclosure under this subpart provide a copy of the statement of disagreement and a concise statement by the agency, if one has been prepared, of the reasons for not making the amendment(s) requested.

§ 21.75 Rights of legal guardians.

For the purposes of this part, the parent of any individual who is a minor or the legal guardian of any individual who has been declared to be incompetent due to physical or mental incapacity or age by a court of competent jurisdiction may act on behalf of the individual.

Title 42–Public Health

Chapter IV–Health Care Financing Administration

PART 401—GENERAL ADMINISTRATIVE REQUIREMENTS

Subpart A—[Reserved]

Subpart B—Confidentiality and Disclosure

Sec.

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401.136 Requests for information or records.
401.140 Fees and charges.
401.144 Denial of requests.
401.148 Administrative review.
401.152 Court review.

Authority: Secs. 1102, 1106 and 1871 of the Social Security Act (42 U.S.C. 1302, 1306 and 1395hh); the Freedom of Information Act (5 U.S.C. 552); and the Privacy Act (5 U.S.C. 552a).

Subpart A--[Reserved]

Subpart B—Confidentiality and Disclosure

Authority: Secs. 205, 1102, and 1106 of the Social Security Act; 49 Stat. 624, as amended, 647, as amended, 53 Stat. 1398, as amended; sec. 290, 66 Stat. 234; (42 U.S.C. 405, 1302, 1306; 8 U.S.C. 1360; 5 U.S.C. 552a) (Privacy Act of 1974); (5 U.S.C. 552) (Freedom of Information Act), as amended by Pub. L. 94–409, 90 Stat. 1241; 26 U.S.C. 6103, as amended by Pub. L. 94–455, 90 Stat. 1667 (Tax Reform Act of 1976)

§ 401.101 Purpose and scope.

(a) The regulations in this subpart (1) Implement section 1106(a) of the Social Security Act as it applies to the Health Care Financing Administration (HCFA). The rules apply to information obtained by officers or employees of HCFA in the course of administering title XVIII of the Social Security Act (Medicare), information obtained by Medicare intermediaries or carriers in the course of carrying out agreements under sections 1816 and 1842 of the Social Security Act, and any other information subject to section 1106(a) of the Social Security Act;

(2) Relate to the availability to the public, under 5 U.S.C. 552, of records of HCFA and its components. They set out what records are available and how they may be obtained; and (3) Supplement the regulations of the Department of Health and Human Services relating to availability of information under 5 U.S.C. 552, codified in 45 CFR Part 5, and do not replace or restrict them.

(b) Except as authorized by the rules in this subpart, no information described in paragraph (a)(1) of this section shall be disclosed. The procedural rules in this subpart (§§ 401.106 through 401.152) shall be applied to requests for information which is subject to the rules for disclosure in this subpart.

(c) Requests for information which may not be disclosed according to the provisions of this subpart shall be denied under authority of section 1106(a) of the Social Security Act and this subpart, and furthermore, such requests which have been made pursuant to the Freedom of Information Act shall be denied under authority of an appropriate Freedom of Information Act exemption, 5 U.S.C. 552(b).

[46 FR 55606, Nov. 12, 1981]

§ 401.102 Definitions.

For purposes of this subpart: "Act" means the Social Security Act.

"Freedom of Information Act rules" means the substantive mandatory disclosure provisions of the Freedom of Information Act, 5 U.S.C. 552 (including the exemptions from mandatory disclosure, 5 U.S.C. 552(b), as implemented by the Department's public information regulation, 45 CFR Part 5, Subpart F and by §§ 401.106 to 401.152 of this subpart.

"Person" means a person as defined in the Administrative Procedure Act, 5 U.S.C. 551(2). This includes State or local agencies, but does not include Federal agencies or State or Federal courts.

"Record" has the same meaning as that provided in 45 CFR 5.5.

"Subject individual" means an individual whose record is maintained by the Department in a system of records, as the terms "individual," "record", and "system of records" are defined in the Privacy Act of 1974, 5 U.S.C. 552a(a).

[46 FR 55607, Nov.12, 1981]

§ 401.105 Rules for disclosure.

(a) *General rule.* The Freedom of Information Act rules shall be applied to every proposed disclosure of information. If, considering the circumstances of the disclosure, the information would be made available in accordance with the Freedom of Information Act rules, then the information may be disclosed regardless of whether the requester or recipient of the information has a statutory right to request the information under the Freedom of Information Act, 5 U.S.C. 552, or whether a request has been made.

(b) *Application of the general rule.* Pursuant to the general rule in paragraph (a) of this section,

(1) Information shall be disclosed—

(i) To a subject individual when required by the access provision of the Privacy Act, 5 U.S.C. 552a(d), as implemented by the Department Privacy Act regulation, 45 CFR Part 5b; and

(ii) To a person upon request when required by the Freedom of Information Act, 5 U.S.C. 552;

(2) Unless prohibited by any other statute (e.g., the Privacy Act of 1974, 5 U.S.C. 552a(b), the Tax Reform Act of 1976, 26 U.S.C. 6103, or section 1106(d) and (e) of the Social Security Act), information may be disclosed to any requester or recipient of the information, including another Federal agency or a State or Federal court, when the information would not be exempt from mandatory disclosure under Freedom of Information Act rules or when the information nevertheless would be made available under the Department's public information regulation's criteria for disclosures which are in the public interest and consistent with obligations of confidentiality and administrative necessity, 45 CFR Part 5, Subpart F, as supplemented by §§ 401.106 to 401.152 of this subpart.

[42 FR 14704, Mar. 16, 1977. Redesignated and amended at 45 FR 74913, 74914, Nov. 13, 1980, and further redesignated at 46 FR 24551, May 1, 1981; amended at 46 FR 55697, Nov. 12,1981.]

§ 401.106 Publication.

(a) *Methods of publication.* Materials required to be published under the provisions of The Freedom of Information Act, 5 U.S.C. 552 (a)(1) and (a)(2) are published in one of the following ways:

(1) By publication in the **Federal Register** of HCFA regulations, and by their subsequent inclusion in the Code of Federal Regulations;

(2) By publication in the **Federal Register** of appropriate general notices;

(3) By other forms of publication, when incorporated by reference in the **Federal Register** with the approval of the Director of the Federal Register; and

(4) By publication in the "Health Care Financing Administration Rulings" (HCFA Rulings) of indexes of precedential orders and opinions issued in the adjudication of claims, statements of policy and interpretations which have been adopted but have not been published in the **Federal Register**, and of administrative staff manuals and instructions to staff that affect a member of the public. The HCFA Rulings may be purchased through the Government Printing Office.

(b) *Availability for inspection.* Those materials which are published in the **Federal Register** pursuant to 5 U.S.C. 552(a)(1) shall, to the extent practicable and to further assist the public, be made available for inspection at the places specified in § 401.128.

[46 FR 55697, Nov.12, 1981]

§ 401.108 Statements of policy and interpretations not published in the Federal Register.

Precedent final opinions and orders and statements of policy and interpretations that have been adopted by HCFA and that are not published in the **Federal Register** will be made available by publication in HCFA Rulings (see § 401.110(d)). HCFA Rulings are published under the authority of the Administrator, HCFA, and are binding on all components of HCFA.

[46 FR 55697, Nov. 12, 1981]

§ 401.110 Publications for sale.

The following publications containing information pertaining to the program, organization, functions, and procedures of HCFA may be purchased from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

(a) Titles 20, 42, and 45 of the Code of Federal Regulations.

(b) **Federal Register** issues.

(c) Compilation of the Social Security Laws.

(d) HCFA Rulings.

(e) Social Security Handbook. The information in the Handbook is not of precedent or interpretative force.

(f) Medicare/Medicaid Directory of Medical Facilities.

[46 FR 55697, Nov. 12, 1981]

§ 401.112 Availability of administrative staff manuals.

All HCFA administrative staff manuals and instructions to staff personnel which contain policies, procedures, or interpretations that affect the public are available for inspection and copying. A complete listing of such materials is published in HCFA Rulings. These manuals are generally not printed in a sufficient quantity to permit sale or other general distribution to the public. Selected material is maintained at Social Security Administration district offices and field offices and may be inspected there. See §§ 401.130 and 401.132 for a listing of this material.

[46 FR 55697, Nov. 12, 1981]

§ 401.116 Availability of records upon request.

(a) *General.* In addition to the records made available pursuant to §§ 401.106, 401.108, 401.110 and 401.112, HCFA will, upon request made in accordance with this subpart, make identified records available to any person, unless they are exempt from disclosure under the provisions of section 552(b) of Title 5, United States Code (see § 401.126), or any other provision of law.

(b) *Misappropriation, alteration, or destruction of records.* No person may remove any record made available to him for inspection or copying under this part, from the place where it is made available. In addition, no person may steal, alter, mutilate, obliterate, or destroy in whole or in part, such a record. See sections 641 and 2071 of title 18 of the United States Code.

[46 FR 55697, Nov. 12, 1981]

§ 401.118 Deletion of identifying details.

When HCFA publishes or otherwise makes available an opinion or order, statement of policy, or other record which relates to a private party or parties, the name or names or other identifying details will be deleted.

[46 FR 55698, Nov. 12, 1981]

§ 401.120 Creation of records.

Records will not be created by compiling selected items from the files, and records will not be created to provide the requester with such data as ratios, proportions, percentages, per capitas, frequency distributions, trends, correlations, and comparisons. If such data have been compiled and are available in the form of a record, the record shall be made available as provided in this subpart.

[46 FR 55698, Nov. 12, 1981]

§ 401.126 Information or records that are not available.

(a) *Specific exemptions from disclosure.* Pursuant to paragraph (b) of 5 U.S.C. 552, certain classes of records are exempt from disclosure. For some examples of the kinds of materials which are exempt, see Subpart F of the public information regulation of the Department of Health and Human Services (45 CFR Part 5) and the appendix to that regulation.

(b) *Materials exempt from disclosure by statute.* Pursuant to paragraph (b)(3) of 5 U.S.C. 552, as amended, which exempts from the requirement for disclosure matters that are exempted from disclosure by statute, provided that such statute requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue, or establishes particular criteria for withholding or refers to particular types of matter to be withheld:

(1) Reports described in sections 1106 (d) and (e) of the Social Security Act shall not be disclosed, except in accordance with the provisions of sections 1106 (d) and (e). Sections 1106 (d) and (e) provide for public inspection of certain official reports dealing with the operation of the health programs

established by titles XVIII and XIX of the Social Security Act (Medicare and Medicaid), but require that program validation survey reports and other formal evaluations of providers of services shall not identify individual patients, individual health care practitioners, or other individuals. Section 1106(e) further requires that none of the reports shall be made public until the contractor or provider whose performance is being evaluated has had a reasonable opportunity to review that report and to offer comments. See § 401.133 (b) and (c);

(2) Disclosure of materials described in section 1865(a)(2) of the Social Security Act as amended, is prohibited. Section 1865(a)(2) provides for release by the Joint Commission on the Accreditation of Hospitals (JCAH) to the Secretary (or a State agency designated by him) on a confidential basis accreditation surveys made by JCAH, if the hospitals authorize such release. Materials which are confidential under this provision include accreditation letters and accompanying Recommendations and Comments prepared by the JCAH concerning hospitals surveyed by it; and

(3) Tax returns and return information defined in section 6103 of the Internal Revenue Code, as amended by the Tax Reform Act of 1976, shall not be disclosed except as authorized by the Internal Revenue Code.

(c) *Effect of exemption.* Neither 5 U.S.C. 552 nor this regulation directs the withholding of any record or information, except to the extent of the prohibitions in paragraph (b) of this section. Except for material required to be withheld under the statutory provisions incorporated in paragraph (b) of this section or under another statute which meets the standards in 5 U.S.C. 552(b)(3), materials exempt from mandatory disclosure will nevertheless be made available when this can be done consistently with obligations of confidentiality and administrative necessity. The disclosure of materials or records under these circumstances in response to a specific request, however, is of no precedent force with respect to any other request.

[46 FR 55698, Nov. 12, 1981]

§ 401.128 Where requests for records may be made.

(a) *General.* Any request for any record may be made to—

(1) Any HCFA component;

(2) Director, Office of Public Affairs, HCFA 313–H, Hubert H. Humphrey Building, 200 Independence Avenue, Washington, D.C. 20201; or

(3) Director of Public Affairs in any Regional Office of the Department of Health and Human Services.

The locations and service areas of these offices are as follows:

Region I—John F. Kennedy Federal Building, Boston, MA 02203. Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont.

Region II—26 Federal Plaza, New York, NY 10007. New York, New Jersey, Puerto Rico, Virgin Islands.

Region III—Gateway Building, 3535 Market Street, Philadelphia, PA 19101. Delaware, Maryland, Pennsylvania, Virginia, West Virginia, District of Columbia.

Region IV—101 Marietta Street, Atlanta, GA 30323. Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee.

Region V—300 South Wacker Drive, Chicago, IL 60606. Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin.

Region VI—1200 Main Tower Building, Dallas, TX 75202. Arkansas, Louisiana, New Mexico, Oklahoma, Texas.

Region VII—601 East 12th Street, Kansas City, MO 64106. Iowa, Kansas, Missouri, Nebraska.

Region VIII—Federal Office Building, 19th and Stout Streets, Denver, CO 80294. Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming.

Region IX—Federal Office Building, 50 United Nations Plaza, San Francisco, CA 94102. Arizona, California, Hawaii, Nevada, Guam, Trust Territory of Pacific Islands, American Samoa.

Region X—Arcade Plaza Building, 1321 Second Avenue, Seattle, WA 98101. Alaska, Idaho, Oregon, Washington.

(b) *Records pertaining to individuals.* HCFA maintains some records pertaining to individuals. Disclosure of such records is generally prohibited by section 1106 of the Social Security Act (42 U.S.C. 1306), except as prescribed in § 401.105 (See also § 401.126(b)). Requests for records pertaining to individuals may be addressed to:

Director, Office of Research, Demonstrations and Statistics, HCFA, Baltimore, Maryland 21235, when information is sought from the record of a person who has participated in a research survey conducted by or for HCFA, Office of Research, Demonstrations and Statistics; or whose records have been included by statistical sampling techniques in research and statistical studies authorized by the Social Security Act in the field of health care financing.

(c) *Requests for materials listed in § 401.130 or § 401.132 or indexed in the HCFA Rulings.* A request to inspect and copy materials listed in § 401.130 or § 401.132 or indexed in HCFA Rulings may be made to any district or branch office of the Social Security Administration. If the specific material requested is not available in the office receiving the request, the material will be obtained and made available promptly.

[46 FR 55698, Nov. 12, 1981]

§ 401.130 Materials available at social security district offices and branch offices.

(a) *Materials available for inspection.* The following are available or will be made available for inspection at the social security district offices and branch offices:

(1) Compilation of the Social Security Laws.

(2) The Public Information Regulation of the Department of Health and Human Services (45 CFR Part 5).

(3) Medicare Program regulations issued by the Health Care Financing Administration. 42 CFR Chapter IV .

(4) HCFA Rulings.

(5) Social Security Handbook.

(b) *Materials available for inspection and copying.* The following materials are available or will be made available for inspection and copying at the social security district offices and branch offices:

(1) Claims Manual of the Social Security Administration.

(2) Department Staff Manual on Organization, Department of Health and Human Services, Part F, HCFA.

(3) Parts 2 and 3 of the Part A Intermediary Manual (Provider Services under Medicare HCFA Pub. 13–2 and 13–3).

(4) Parts 2 and 3 of the Part B Intermediary Manual (Physician and Supplier Services).

(5) Intermediary Letters Related to Parts 2 and 3 of the Part A and Part B Intermediary Manuals.

(6) State Buy-In Handbook (State Enrollment of Eligible Individuals under the Supplementary Medical Insurance Program) and Letters.

(7) Group Practice Prepayment Plan Manual (HIM–8) and Letters.

(8) State Operations Manual (HIM–7).

(9) HCFA Letters to State Agencies on Medicare.

(10) Skilled Nursing Facility Manual (HCFA Pub. 12).

(11) Hearing Officers Handbook (Supplementary Medical Insurance Program—HIM–21).

(12) Hospital Manual (HIM–10).

(13) Home Health Agency Manual (HIM–11).

(14) Outpatient Physical Therapy Provider Manual (HIM–9).

(15) Provider Reimbursement Manual (HIM–15).

(16) Audit Program Manuals for Hospital (HIM–18), Home Health

Agency (HIM–17), and Extended Care Facilities (HIM–18).

(17) Statements of deficiencies based upon survey reports of health care institutions or facilities prepared after January 31, 1973, by a State agency, and such reports (including pertinent written statements furnished by such institution or facility on such statements of deficiencies), as set forth in § 401.133(a). Such statements of deficiencies, reports, and pertinent written statements shall be available or made available only at the social security district office and regional office servicing the area in which the institution or facility is located, except that such statements of deficiencies and pertinent written statements shall also be available at the local public assistance offices servicing such area.

(18) Indexes to the materials listed in paragraph (a) of this section and in this paragraph (b) and an index to the Bureau of Hearings and Appeals Handbook.

[46 FR 55699, Nov. 12, 1981]

§ 401.132 Materials in field offices of the Office of Hearings and Appeals, SSA.

(a) *Materials available for inspection.* The following materials are available for inspection in the field offices of the Office of Hearings and Appeals, SSA.

(1) Title 45 of the Code of Federal Regulations (including the public information regulation of the Department of Health and Human Services).

(2) Regulations of the Social Security Administration and HCFA.

(3) Title 5, United States Code.

(4) Compilation of the Social Security Laws.

(5) HCFA Rulings.

(6) Social Security Handbook.

(b) *Handbook available for inspection and copying.* The Office of Hearings and Appeals Handbook is available for inspection and copying in the field offices of the Office of Hearings and Appeals.

[46 FR 55699, Nov. 12, 1981]

§ 401.133 Availability of official reports on providers of services, State agencies, intermediaries, and carriers under Medicare.

The following shall be made available to the public under the conditions specified:

(a) *Statements of deficiencies and survey reports on providers of services prepared by State agencies.* (1) Statements of deficiencies based upon official survey reports prepared after January 31, 1973, by a State agency pursuant to its agreement entered into under section 1864 of the Social Security Act and furnished to HCFA, which relate to a State agency's findings on the compliance of a health care institution or facility with the applicable provisions in section 1861 of the Act and with the regulations, promulgated pursuant to those provisions, dealing with health and safety of patients in those institutions and facilities; and (2) State agency survey reports. The statement of deficiencies or report and any pertinent written statements furnished by the institution or facility on the statement of deficiencies shall be disclosed within 90 days following the completion of the survey by the State agency, but not to exceed 30 days following the receipt of the report by HCFA. (See § 401.130(b)(17)) for places where statements of deficiencies, reports, and pertinent written statements will be available.)

(b) *HCFA reports on providers of services.* Upon request in writing, official reports and other formal evaluations (including followup reviews), excluding references to internal tolerance rules and practices contained therein, internal working papers or other informal memoranda, prepared and completed after January 31, 1973, which relate to the performance of providers of services under Medicare: *Provided,* That no information identifying individual patients, physicians, or other practitioners, or other individuals shall be disclosed under this paragraph. Those reports and other evaluations shall be disclosed within 30 days following the final preparation thereof by HCFA during which time the providers of services shall be afforded a reasonable opportunity to offer comments, and there shall be disclosed with those reports and evaluations any pertinent written statements furnished HCFA by those providers on those reports and evaluations.

(c) *Contractor performance review reports.* Upon request in writing, official contractor performance review reports and other formal evaluations (including followup reviews), excluding references to internal tolerance rules and practices contained therein, internal working papers or other informal memoranda, prepared and completed after January 31, 1973, which relate to the evaluation of the performance of (1) intermediaries and carriers under their agreements entered into pursuant to sections 1816 and 1842 of the Social Security Act and (2) State agencies under their agreements entered into pursuant to section 1864 of the Act (including comparative evaluations of the performance of those intermediaries, carriers, and State agencies). The latest Contract Performance Review Report pertaining to a particular intermediary or carrier, prepared prior to February 1, 1973, may also be disclosed to any person upon request in writing. Those reports and evaluations shall be disclosed within 30 days following their final preparation by HCFA (or 30 days following the request therefor, in the case of the contract performance review report prepared prior to February 1, 1973), during which time those intermediaries, carriers, and State agencies, as the case may be, shall be afforded a reasonable opportunity to offer comments, and there shall be disclosed with those reports and evaluations any pertinent written statements furnished HCFA by those intermediaries, carriers, or State agencies or those reports and evaluations.

[46 FR 55699, Nov. 12, 1981]

§ 401.134 Release of Medicare information to State and Federal agencies.

(a) Except as provided in paragraph (b) of this section, the following information may be released to an officer or employee of an agency of the Federal or a State government lawfully charged with the administration of a program receiving grants-in-aid under title V and XIX of the Social Security Act for the purpose of administration of those titles, or to any officer or employee of the Department of Army, Department of Defense, solely for the administration of its Civilian Health and Medical Program of the Uniformed Services (CHAMPUS):

(1) Information, including the identification number, concerning charges made by physicians, other practitioners, or suppliers, and amounts paid under Medicare for services furnished to beneficiaries by such physicians, other practioners, or suppliers, to enable the agency to determine the proper amount of benefits payable for medical services performed in accordance with those programs; or

(2) Information as to physicians or other practioners that has been disclosed under § 401.105.

(3) Information relating to the qualifications and certification status of hospitals and other health care facilities obtained in the process of determining whether, and certifying as to whether, institutions or agencies meet or continue to meet the conditions of participation of providers of services or whether other entities meet or continue to meet the conditions for coverage of services they furnish.

(b) The release of such information shall not be authorized by a fiscal intermediary or carrier.

(c) The following information may be released to any officer or employee of an agency of the Federal or a State government lawfully charged with the duty of conducting an investigation or prosecution with respect to possible fraud or abuse against a program receiving grants-in-aid under Medicaid, but only for the purpose of conducting such an investigation or prosecution, or to any officer or employee of the Department of the Army, Department of Defense, solely for the administration of its Civilian Health and Medical Program of the Uniformed Services (CHAMPUS), provided that the agency has filed an agreement with HCFA that the information will be released only to the agency's enforcement branch and that the agency will preserve the confidentiality of the information received and will not disclose that information for other than program purposes:

(1) The name and address of any provider of medical services, organization, or other person being actively investigated for possible fraud in connection with Medicare, and the nature of such suspected fraud. An active investigation exists when there is significant evidence supporting an initial complaint but there is need for further investigation.

(2) The name and address of any provider of medical services, organization, or other person found, after consultation with an appropriate professional association or a program review team, to have provided unnecessary services, or of any physician or other individual found to have violated the assignment agreement on at least three occasions.

(3) The name and address of any provider of medical services, organization or other person released under paragraph (c)(1) or (2) of this section concerning which an active investigation is concluded with a finding that there is no fraud or other prosecutable offense.

[46 FR 55700, Nov. 12, 1981]

§ 401.135 Release of Medicare information to the public.

The following shall be made available to the public under the conditions specified:

(a) Information as to amounts paid to providers and other organizations and facilities for services to beneficiaries under title XVIII of the Act: *Provided*, That no information identifying any particular beneficiaries shall be disclosed under this paragraph.

(b) The name of any provider of services or other person furnishing services to Medicare beneficiaries who—

(1) Has been found by a Federal court to have been guilty of submitting false claims in connection with Medicare; or

(2) Has been found by a carrier or intermediary, after consultation with a professional medical association functioning external to program administration or, if appropriate, the State medical authority, to have been engaged in a pattern of furnishing services to beneficiaries which are substantially in excess of their medical needs; except that the name of any provider or other person shall not be disclosed pursuant to a finding under this paragraph (b)(2) of this section, unless that provider or other person has first been afforded a reasonable opportunity to offer evidence on his behalf.

(c) Upon request in writing, cost reports submitted by providers of services pursuant to section 1815 of the Act to enable the Secretary to determine amounts due the providers.

[46 FR 55700, Nov. 12, 1981]

§ 401.136 Requests for information or records.

(a) A request should reasonably identify the requested record by brief description. Requesters who have detailed information which would assist in identifying the records requested are urged to provide such information in order to expedite the handling of the request. Envelopes in which written requests are submitted should be clearly identified as Freedom of Information requests. The request should include the fee or request determination of the fee. When necessary, a written request will be promptly forwarded to the proper office, and the requester will be advised of the date of the receipt and identification and address of the proper office.

(b) Determinations of whether records will be released or withheld will be made within 10 working days from date of receipt of the request in the office listed in § 401.128 except where HCFA extends this time and sends notice of such extension to the requester. Such extension may not exceed 10 additional working days and shall apply only where the following unusual circumstances exist:

(1) The need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the requests;

(2) The need to search for, collect, and appropriately examine a voluminous amount of separate and distinct records which are requested in a single request; or

(3) The need for consultation, which shall be conducted with all practicable speed, with another agency having a substantial interest in the request or among two or more components of HCFA having a substantial interest in the subject matter of the request.

(c) If an extension is made, the requester will be notified in writing before the expiration of 10 working days from receipt of the request and will be given an explanation of why the extension was necessary and the date on which a determination will be made.

(d) Authority to extend the time limit with respect to any request for information or records is granted to the Director, Office of Public Affairs, HCFA and to the Director of Public Affairs in any HHS Regional Office. Those officers and employees of HCFA who are listed in § 401.144(a) as having authority to deny requests for information from records maintained on individuals are granted authority to extend the time limit for responding to requests for information from such records.

[46 FR 55700, Nov. 12, 1981]

§ 401.140 Fees and charges.

(a) *Statement of policy.* It is HCFA's policy to comply with certain requests for information services without charge. Except as otherwise determined pursuant to paragraph (c) of this section, fees will be charged for the following services with respect to all other requests for information from records which are reasonably identified by the requesters:

(1) Reproduction, duplication, or copying of records;

(2) Searches for records; and

(3) Certification or authentication of records.

(b) *Fee schedules.* The fee schedule is as follows:

(1) *Search for records.* Three dollars per hour: *Provided, however,* That no charge will be made for the first half hour.

(2) *Reproduction, duplication, or copying of records.* Ten cents per page where such reproduction can be made by commonly available photocopying machines. The cost of reproducing records which cannot be so photocopied will be determined on an individual basis at actual cost.

(3) *Certification or authentication of records.* Three dollars per certification or authentication.

(4) *Forwarding materials to destination.* Any special arrangements for forwarding which are requested shall

be charged at actual cost; however, no charge will be made for postage.

(5) No charge will be made when the total amount does not exceed five dollars.

(c) *Waiver or reduction of fees.* Waiver or reduction of the fees in paragraph (b) of this section may be made upon a determination that such waiver or reduction is in the public interest because furnishing the information can be considered as primarily benefiting the general public. Such determination may be made by the appropriate officer or employee identified in § 401.144.

(d) *Sale of documents.* On occasion, a previously printed document may be available for sale to the public; the cost of supplying the document is one cent per page unless the document is available for sale from the Superintendent of Documents, in which case the price shall be that determined by the Superintendent.

[46 FR 55701, Nov. 12, 1981]

§ 401.144 Denial of requests.

(a) *General authority.* Only the Director, Office of Public Affairs, HCFA, and the Regional Directors of Public Affairs, HHS, are authorized to deny written requests to obtain, inspect or copy any HCFA information or record.

(b) *Forms of denials.* (1) Oral requests may be dealt with orally, but the requester should be advised that the oral response is not an official determination and that an official determination may be obtained only by submitting the request in writing. Appropriate available assistance will be offered.

(2) Written Requests—Denials of written requests will be in writing and will contain the reasons for the denial including, as appropriate, a statement that a document requested is nonexistent or not reasonably described or is subject to one or more clearly described exemption(s). Denials will also provide the requester with appropriate information on how to exercise the right of appeal.

[46 FR 55701, Nov. 12, 1981]

§ 401.148 Administrative review.

(a) *Review by the Administrator.* A person whose request has been denied may initiate a review by filing a request for review with the Administrator of HCFA, 700 East High Rise Building, 6401 Security Boulevard, Baltimore, Maryland 21235, within 30 days of receipt of the determination to deny or within 30 days of receipt of records which are in partial response to his request if a portion of a request is granted and a portion denied, whichever is later. Upon receipt of a timely request for review, the Administrator will review the decision in question and the findings upon which it was based. Upon the basis of the data considered in connection with the decision and whatever other evidence and written argument is submitted by the person requesting the review or which is otherwise obtained, the Administrator or his designee will affirm or revise in whole or in part the findings and decision in question. A decision to affirm the denial will be made only upon concurrence of the Assistant Secretary for Public Affairs, or his designee, after consultation with the General Counsel or his or her designee, and the appropriate program policy official. Written notice of the decision of the Administrator will be mailed to the person who requested the review. A written decision will be made within 20 working days from receipt of the request for review. Extension of the time limit may be granted under the circumstances listed in § 401.136(b) to the extent that the maximum 10 days limit on extensions has not been exhausted on the initial determination. The decision will include the basis for it and will advise the requester of his right to judicial review.

(b) *Failure of the Administrator to comply with the time limits.* Failure of the Administrator to comply with the time limits set forth in § 401.136 and this section constitutes an exhaustion of the requester's administrative remedies.

[46 FR 55701, Nov. 12, 1981]

§ 401.152 Court review.

Where the Administrator upon review affirms the denial of a request for records, in whole or in part, the requester may seek court review in the district court of the United States pursuant to 5 U.S.C. 552(a)(4)(B).

[46 FR 55701, Nov. 12, 1981]

Title 45–Public Welfare

Subtitle A–Department of Health and Human Services

PART 5b—PRIVACY ACT REGULATIONS

Sec.

5b.1 Definitions.
5b.2 Purpose and scope.
5b.3 Policy.
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5b.5 Notification of or access to records.
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Appendix A—Employee Standards of Conduct
Appendix B—Routine Uses Applicable to More Than One System of Records Maintained by HHS
Appendix C—Delegations of Authority [Reserved]

Authority: 5 U.S.C. 301, 5 U.S.C. 552a.

Source: 40 FR 47409, Oct. 8, 1975, unless otherwise noted.

§ 5b.1 Definitions.

As used in this part:

(a) "Access" means availability of a record to a subject individual.

(b) "Agency" means the Department of Health and Human Services.

(c) "Department" means the Department of Health and Human Services.

(d) "Disclosure" means the availability or release of a record to anyone other than the subject individual.

(e) "Individual" means a living person who is a citizen of the United States or an alien lawfully admitted for permanent residence. It does not include persons such as sole proprietorships, partnerships, or corporations. A business firm which is identified by the name of one or more persons is not an individual within the meaning of this Part.

(f) "Maintain" means to maintain, collect, use, or disseminate when used in connection with the term "record"; and, to have control over or responsibility for a system of records when used in connection with the term "system of records."

(g) "Notification" means communication to an individual whether he is a subject individual.

(h) "Record" means any item, collection, or grouping of information about an individual that is maintained by the Department, including but not limited to the individual's education, financial transactions, medical history, and criminal or employment history and that contains his name, or an identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph. When used in this Part, record means only a record which is in a system of records.

(i) "Responsible Department official" means that officer who is listed in a notice of a system of records as the system manager for a given system of records or another individual listed in the notice of a system of records to

whom requests may be made, or the designee of either such officer or individual.

(j) "Routine use" means the disclosure of a record outside the Department without the consent of the subject individual, for a purpose which is compatible with the purpose for which the record was collected. It includes disclosures required to be made by statute other than the Freedom of Information Act, 5 U.S.C. 552. It does not include disclosures which are permitted to be made without the consent of the subject individual which are not compatible with the purpose for which it was collected such as disclosures to the Bureau of the Census, the General Accounting Office, or to Congress.

(k) "Secretary" means the Secretary of Health and Human Services, or his designee.

(l) "Statistical record" means a record maintained for statistical research or reporting purposes only and not maintained to make determinations about a particular subject individual.

(m) "Subject individual" means that individual to whom a record pertains.

(n) "System of records" means any group of records under the control of the Department from which a record is retrieved by personal identifier such as the name of the individual, number, symbol or other unique retriever assigned to the individual. Single records or groups of records which are not retrieved by a personal identifier are not part of a system of records. Papers maintained by individual employees of the Department which are prepared, maintained, or discarded at the discretion of the employee and which are not subject to the Federal Records Act, 44 U.S.C. 2901, are not part of a system of records; *Provided*, That such personal papers are not used by the employee or the Department to determine any rights, benefits, or privileges of individuals.

§ 5b.2 Purpose and scope.

(a) This Part implements section 3 of the Privacy Act of 1974, 5 U.S.C. 552a (hereinafter referred to as the Act), by establishing agency policies and procedures for the maintenance of records. This Part also establishes agency policies and procedures under which a subject individual may be given notification of or access to a record pertaining to him and policies and procedures under which a subject individual may have his record corrected or amended if he believes that his record is not accurate, timely, complete, or relevant or necessary to accomplish a Department function.

(b) All components of the Department are governed by the provisions of this Part. Also governed by the provisions of this Part are:

(1) Certain non-federal entities which operate as agents of the Department for purposes of carrying out Federal functions, such as intermediaries and carriers performing functions under contracts and agreements entered into pursuant to sections 1816 and 1842 of the Social Security Act, 42 U.S.C. 1395h and 1395u.

(2) Advisory committees and councils within the meaning of the Federal Advisory Committee Act which provide advice to (i) any official or component of the Department or (ii) the President and for which the Department has been delegated responsibility for providing services.

(c) Employees of the Department governed by this Part include all regular and special government employees of the Department; Members of the Public Health Service Commissioned Corps; experts and consultants whose temporary (not in excess of 1 year) or intermittent services have been procured by the Department by contract pursuant to 3109 of title 5, United States Code; volunteers where acceptance of their services are authorized by law; those individuals performing gratuitous services as permitted under conditions prescribed by the Civil Service Commission; and, participants in work-study or training programs.

(d) Where other statutes mandate procedures which are inconsistent with the procedures set forth in this Part, components of the Department may issue supplementary regulations containing procedures necessary to comply with such statutes. In addition, components of the Department may supplement by regulation the policies and procedures set forth in this Part to meet particular needs of the programs administered by such components.

(e) This Part does not:

(1) Make available to a subject individual records which are not retrieved by that individual's name or other personal identifier.

(2) Make available to the general public records which are retrieved by a subject individual's name or other personal identifier or make available to the general public records which would otherwise not be available to the general public under the Freedom of Information Act, 5 U.S.C. 552, and Part 5 of this title.

(3) Govern the maintenance or disclosure of, notification of or access to, records in the possession of the Department which are subject to regulations of another agency, such as personnel records subject to the regulations of the Civil Service Commission.

(4) Apply to grantees, including State and local governments or subdivisions thereof, administering federally funded programs.

(5) Make available records compiled by the Department in reasonable anticipation of court litigation or formal administrative proceedings. The availability of such records to the general public or to any subject individual or party to such litigation or proceedings shall be governed by applicable constitutional principles, rules of discovery, and applicable regulations of the Department and any of its components.

§ 5b.3 Policy.

It is the policy of the Department to protect the privacy of individuals to the fullest extent possible while nonetheless permitting the exchange of records required to fulfill the administrative and program responsibilities of the Department, and responsibilities of the Department for disclosing records which the general public is entitled to have under the Freedom of Information Act, 5 U.S.C. 552, and Part 5 of this title.

§ 5b.4 Maintenance of records.

(a) No record will be maintained by the Department unless:

(1) It is relevant and necessary to accomplish a Department function required to be accomplished by statute or Executive Order;

(2) It is acquired to the greatest extent practicable from the subject individual when maintenance of the record may result in a determination about the subject individual's rights, benefits or privileges under Federal programs;

(3) The individual providing the record is informed of the authority for providing the record (including whether the providing of the record is mandatory or voluntary, the principal purpose for maintaining the record, the routine uses for the record, what effect his refusal to provide the record may have on him), and if the record is not required by statute or Executive Order to be provided by the individual, he agrees to provide the record.

(b) No record will be maintained by the Department which describes how an individual exercises rights guaranteed by the First Amendment unless expressly authorized (1) by statute, or (2) by the subject individual, or (3) unless pertinent to and within the scope of an authorized law enforcement activity.

§ 5b.5 Notification of or access to records.

(a) *Times, places, and manner of requesting notification of or access to a record.* (1) Subject to the provisions governing medical records in § 5b.6 of this part, any individual may request notification of a record. He may at the same time request access to any record pertaining to him. An individual may be accompanied by another individual of his choice when he requests access to a record in person; *Provided,* That he affirmatively authorizes the presence of such other individual during any discussion of a record to which access is requested.

(2) An individual making a request for notification of or access to a record shall address his request to the responsible Department official and shall verify his identity when required in accordance with paragraph (b)(2) of this section. At the time the request is made, the individual shall specify which systems of records he wishes to have searched and the records to which he wishes to have access. He may also request that copies be made of all or any such records. An individual shall also provide the responsible Department official with sufficient particulars to enable such official to distinguish between records on subject individuals with the same name. The necessary particulars are set forth in the notices of systems of records.

(3) An individual who makes a request in person may leave with any responsible Department official a request for notification of or access to a record under the control of another responsible Department official; *Provided,* That the request is addressed in writing to the appropriate responsible Department official.

(b) *Verification of identity*—(1) *When required.* Unless an individual, who is making a request for notification of or access to a record in person, is personally known to the responsible Department official, he shall be required to verify his identity in accordance with paragraph (b)(2) of this section if:

(i) He makes a request for notification of a record and the responsible Department official determines that the mere disclosure of the existence of the record would be a clearly unwarranted invasion of privacy if disclosed to someone other than the subject individual; or,

(ii) He makes a request for access to a record which is not required to be disclosed to the general public under the Freedom of information Act, 5 U.S.C. 552, and Part 5 of this title.

(2) *Manner of verifying identity.*

(i) An individual who makes a request in person shall provide to the responsible Department official at least one piece of tangible identification such as a driver's license, passport, alien or voter registration card, or union card to verify his identity. If an individual does not have identification papers to verify his identity, he shall certify in writing that he is the individual who he claims to be and that he understands that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act subject to a $5,000 fine.

(ii) Except as provided in paragraph (b)(2)(v) of this section, an individual who does not make a request in person shall submit a notarized request to the responsible Department official to verify his identity or shall certify in his request that he is the individual who he claims to be and that he understands that the knowing and willful request for or acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act subject to a $5,000 fine.

(iii) An individual who makes a request on behalf of a minor or legal incompetent as authorized under § 5b.10 of this Part shall verify his relationship to the minor or legal incompetent, in addition to verifying his own identity, by providing a copy of the minor's birth certificate, a court order, or other competent evidence of guardianship to the responsible Department official; *except that,* an individual is not required to verify his relationship to the minor or legal incompetent when he is not required to verify his own identity or when evidence of his relationship to the minor or legal incompetent has been previously given to the responsible Department official.

(iv) An individual shall further verify his identity if he is requesting notification of or access to sensitive records such as medical records. Any further verification shall parallel the record to which notification or access is being sought. Such further verification may include such particulars as the individual's years of attendance at a particular educational institution, rank attained in the uniformed services, date or place of birth, names of parents, an occupation or the specific times the individual received medical treatment.

(v) An individual who makes a request by telephone shall verify his identity by providing to the responsible Department official identifying particulars which parallel the record to which notification or access is being sought. If the responsible Department official determines that the particulars provided by telephone are insufficient, the requester will be required to submit the request in writing or in person. Telephone requests will not be accepted where an individual is requesting notification of or access to sensitive records such as medical records.

(c) *Granting notification of or access to a record.* (1) Subject to the provisions governing medical records in § 5b.6 of this part and the provisions governing exempt systems in § 5b.11 of this part, a responsible Department official, who receives a request for notification of or access to a record and, if required, verification of an individual's identity, will review the request and grant notification or access to a record, if the individual requesting access to the record is the subject individual.

(2) If the responsible Department official determines that there will be a delay in responding to a request because of the number of requests being processed, a breakdown of equipment, shortage of personnel, storage of records in other locations, etc., he will so inform the individual and indicate when notification or access will be granted.

(3) Prior to granting notification of or access to a record, the responsible Department official may at his discretion require an individual making a request in person to reduce his request to writing if the individual has not already done so at the time the request is made.

§ 5b.6 Special procedures for notification of or access to medical records.

(a) *General.* An individual in general has a right to notification of or access to his medical records, including psychological records, as well as to other records pertaining to him maintained by the Department. This section sets forth special procedures as permitted by the Act for notification of or access to medical records, including a special procedure for notification of or access to medical records of minors. The special procedures set forth in paragraph (b) of this section may not be suitable for use by every component of the Department. Therefore, components may follow the paragraph (b) procedure for notification of or access to medical records or may issue regulations establishing special procedures for such purposes. The special procedure set forth in paragraph (c) of this section relating to medical records of minors is mandatory.

(b) *Medical records procedures*—(1) *Notification of or access to medical records.* (i) Any individual may request notification of or access to a medical record pertaining to him. Unless the

individual is a parent or guardian requesting notification of or access to a minor's medical record, an individual shall make a request for a medical record in accordance with this section and the procedures in § 5b.5 of this Part.

(ii) An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a representative in writing. The representative may be a physician, other health professional, or other responsible individual, who would be willing to review the record and inform the subject individual of its contents at the representative's discretion.

(2) *Utilization of the designated representative.* A subject individual will be granted direct access to a medical record if the responsible official determines that direct access is not likely to have an adverse effect on the subject individual. If the responsible Department official believes that he is not qualified to determine, or if he does determine, that direct access to the subject individual is likely to have an adverse effect on the subject individual, the record will be sent to the designated representative. The subject individual will be informed in writing that the record has been sent.

(c) *Medical records of minors*—(1) *Requests by minors; notification of or access to medical records to minors.* A minor may request notification of or access to a medical record pertaining to him in accordance with paragraph (b) of this section.

(2) *Requests on a minor's behalf; notification of or access to medical records to an individual on a minor's behalf.* (i) In order to protect the privacy of a minor, a parent or guardian, authorized to act on a minor's behalf as provided in § 5b.10 of this part, who makes a request for notification of or access to a minor's medical record will not be given direct notification of or access to such record.

(ii) A parent or guardian shall make all requests for notification of or access to a minor's medical record in accordance with this paragraph and the procedures in § 5b.5 of this part. A parent or guardian shall at the time he makes a request designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent.

(iii) Where a medical record on the minor exists, it will be sent to the physician or health professional designated by the parent or guardian in all cases. If disclosure of the record would constitute an invasion of the minor's privacy, that fact will be brought to the attention of the physician or health professional to whom the record is sent. The physician or health professional will be asked to consider the effect that disclosure of the record to the parent or guardian would have on the minor in determining whether the minor's medical record should be made available to the parent or guardian. Response to the parent or guardian making the request will be made in substantially the following form:

We have completed processing your request for notification of or access to

_____'s

(Name of minor)

medical records. Please be informed that if any medical record were found pertaining to that individual, they have not been sent to your designated physician or health professional.

In each case where a minor's medical record is sent to a physician or health professional, reasonable efforts will be made to so inform the minor.

§ 5b.7 Procedures for correction or amendment of records.

(a) Any subject individual may request that his record be corrected or amended if he believes that the record is not accurate, timely, complete, or relevant or necessary to accomplish a Department function. A subject individual making a request to amend or correct his record shall address his request to the responsible Department official in writing; *except that*, the request need not be in writing if the subject individual makes his request in person and the responsible Department official corrects or amends the record at that time. The subject individual shall specify in each request:

(1) The system of records from which the record is retrieved;

(2) The particular record which he is seeking to correct or amend;

(3) Whether he is seeking an addition to or a deletion or substitution of the record; and,

(4) His reasons for requesting correction or amendment of the record.

(b) A request for correction or amendment of a record will be acknowledged within 10 working days of its receipt unless the request can be processed and the subject individual informed of the responsible Department official's decision on the request within that 10 day period.

(c) If the responsible Department official agrees that the record is not accurate, timely, or complete based on a preponderance of the evidence, the record will be corrected or amended. The record will be deleted without regard to its accuracy, if the record is not relevant or necessary to accomplish the Department function for which the record was provided or is maintained. In either case, the subject individual will be informed in writing of the correction, amendment, or deletion and, if accounting was made of prior disclosures of the record, all previous recipients of the record will be informed of the corrective action taken.

(d) If the responsible Department official does not agree that the record should be corrected or amended, the subject individual will be informed in writing of the refusal to correct or amend the record. He will also be informed that he may appeal the refusal to correct or amend his record to the appropriate appeal authority listed in § 5b.8 of this Part. The appropriate appeal authority will be identified to the subject individual by name, title, and business address.

(e) Requests to correct or amend a record governed by the regulation of another government agency, *e.g.*, Civil Service Commission, Federal Bureau of Investigation, will be forwarded to such government agency for processing and the subject individual will be informed in writing of the referral.

§ 5b.8 Appeals of refusals to correct or amend records.

(a) *Processing the appeal.* (1) A subject individual who disagrees with a refusal to correct or amend his record may appeal the refusal in writing. All appeals shall be made to the following appeal authorities, or their designees, or successors in function:

(i) Assistant Secretary for Administration and Management for records of the Office of the Secretary, or where the initial refusal to correct or amend was made by another appeal authority. The appeal authority for an initial refusal by the Assistant Secretary for Administration and Management is the Under Secretary.

(ii) Assistant Secretary for Health for records of the Public Health Service including Office of Assistant Secretary for Health; Health Resources Administration; Health Services Administration; Alcohol, Drug Abuse, and Mental Health Administration; Center for Disease Control; National Institutes of Health; and Food and Drug Administration.

(iii) Assistant Secretary for Education for records of the Office of the Assistant Secretary for Education, National Center for Education Statistics, National Institute of Education, and Office of Education.

(iv) Assistant Secretary for Human Development for records of the Office of Human Development.

(v) Commissioner of Social Security for records of the Social Security Administration.

(vi) Administrator, Social and Rehabilitation Service for the records of the Social and Rehabilitation Service.

(2) An appeal will be completed within 30 working days from its receipt by the appeal authority; *except that*, the appeal authority may for good cause extend this period for an additional 30 days. Should the appeal period be extended, the subject individual appealing the refusal to correct or amend the record will be informed in writing of the extension and the circumstances of the delay. The subject individual's request to amend or correct the record, the responsible Department official's refusal to correct or amend, and any other pertinent material relating to the appeal will be reviewed. No hearing will be held.

(3) If the appeal authority agrees that the record subject to the appeal should be corrected or amended, the record will be amended and the subject individual will be informed in writing of the correction or amendment. Where an accounting was made of prior disclosures of the record, all previous recipients of the record will be informed of the corrective action taken.

(4) If the appeal is denied, the subject individual will be informed in writing:

(i) Of the denial and the reasons for the denial;

(ii) That he has a right to seek judicial review of the denial; and,

(iii) That he may submit to the responsible Department official a concise statement of disagreement to be associated with the disputed record and disclosed whenever the record is disclosed.

(b) *Notation and disclosure of disputed records.* Whenever a subject individual submits a statement of disagreement to the responsible Department official in accordance with paragraph (a)(4)(iii) of this section, the record will be noted to indicate that it is disputed. In any subsequent disclosure, a copy of the subject individual's statement of disagreement, will be disclosed with the record. If the responsible Department official deems it appropriate, a concise statement of the appeal authority's reasons for denying the subject individual's appeal may also be disclosed with the record. While the subject individual will have access to this statement of reasons, such statement will not be subject to correction or amendment. Where an accounting was made of prior disclosures of the record, all previous recipients of the record will be provided a copy of the subject individual's statement of disagreement, as well as the statement, if any, of the appeal authority's reasons for denying the subject individual's appeal.

§ 5b.9 Disclosure of records.

(a) *Consent to disclosure by a subject individual.* (1) Except as provided in paragraph (b) of this section authorizing disclosures of records without consent, no disclosure of a record will be made without the consent of the subject individual. In each case the consent, whether obtained from the subject individual at the request of the Department or whether provided to the Department by the subject individual on his own initiative, shall be in writing. The consent shall specify the individual, organizational unit or class of individuals or organizational units to whom the record may be disclosed, which record may be disclosed and, where applicable, during which time frame the record may be disclosed (*e.g.*, during the school year, while the subject individual is out of the country, whenever the subject individual is receiving specific services). A blanket consent to disclose all of a subject individual's records to unspecified individuals or organizational units will not be honored. The subject individual's identity and, where applicable (*e.g.*, where a subject individual gives consent to disclosure of a record to a specific individual), the identity of the individual to whom the record is to be disclosed shall be verified.

(2) A parent or guardian of any minor is not authorized to give consent to a disclosure of the minor's medical record.

(b) *Disclosures without the consent of the subject individual.* The disclosures listed in this paragraph may be made without the consent of the subject individual. Such disclosures are:

(1) To those officers and employees of the Department who have a need for the record in the performance of their duties. The responsible Department official may upon request of any officer or employee, or on his own initiative, determine what constitutes legitimate need.

(2) Required to be disclosed under the Freedom of Information Act, 5 U.S.C. 552, and Part 5 of this title.

(3) For a routine use as defined in paragraph (j) of § 5b.1 of this Part. Routine uses will be listed in any notice of a system of records. Routine uses published in Appendix B are applicable to more than one system of records. Where applicable, notices of systems of records may contain references to the routine uses listed in Appendix B. Appendix B will be published with any compendium of notices of systems of records.

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13 U.S.C.

(5) To a recipient who has provided the agency with advance written assurance that the record will be used solely as a statistical research or reporting record; *Provided*, That, the record is transferred in a form that does not identify the subject individual.

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value.

(7) To another government agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of such government agency or instrumentality has submitted a written request to the Department specifying the record desired and the law enforcement activity for which the record is sought.

(8) To an individual pursuant to a showing of compelling circumstances affecting the health or safety of any individual if a notice of the disclosure is transmitted to the last known address of the subject individual.

(9) To either House of Congress, or to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee.

(10) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office.

(11) Pursuant to the order of a court of competent jurisdiction.

(c) *Accounting of disclosures.* (1) An accounting of all disclosures of a record will be made and maintained by the Department for 5 years or for the life of the record, whichever is longer; *except that*, such an accounting will not be made:

(i) For disclosures under paragraph (b) (1) and (2) of this section; and,

(ii) For disclosures made with the written consent of the subject individual.

(2) The accounting will include:

(i) The date, nature, and purpose of each disclosure; and

(ii) The name and address of the person or entity to whom the disclosure is made.

(3) Any subject individual may request access to an accounting of disclosures of a record. The subject individual shall make a request for access to an accounting in accordance with the procedures in § 5b.5 of this part. A subject individual will be granted access to an accounting of the disclosures of a record in accordance with the procedures of this part which govern access to the related record. Access to an accounting of a disclosure of a record made under paragraph (b)(7) of this section may be granted at the discretion of the responsible Department official.

§ 5b.10 Parents and guardians.

For the purpose of this part, a parent or guardian of any minor or the legal guardian or any individual who has been declared incompetent due to physical or mental incapacity or age by a court of competent jurisdiction is authorized to act on behalf of an individual or a subject individual. Except as provided in paragraph (b)(2) of § 5b.5, of this Part governing procedures for verifying an individual's identity, and paragraph (c) (2) of § 5b.6 of this part governing special procedures for notification of or access to a minor's medical records, an individual authorized to act on behalf of a minor or legal incompetent will be viewed as if he were the individual or subject individual.

§ 5b.11 Exempt systems.

(a) *General policy.* The Act permits certain types of specific systems of records to be exempt from some of its requirements. It is the policy of the Department to exercise authority to exempt systems of records only in compelling cases.

(b) *Specific systems of records exempted.* (1) Those systems of records listed in paragraph (b)(2) of this section are exempt from the following provisions of the Act and this Part:

(i) 5 U.S.C. 552a(c)(3) and paragraph (c)(2) of § 5b.9 of this part which require a subject individual to be granted access to an accounting of disclosures of a record.

(ii) 5 U.S.C. 552a(d) (1) through (4) and (f) and §§ 5b.6, 5b.7, and 5b.8 of this part relating to notification of or access to records and correction or amendment of records.

(iii) 5 U.S.C. 552a(e)(4) (G) and (H) which require inclusion of information about Department procedures for notification, access, and correction or amendment of records in the notice for the systems of records.

(iv) 5 U.S.C. 552(e)(3) and paragraph (a)(3) of § 5b.4 of this Part which require that an individual asked to provide a record to the Department be informed of the authority for providing the record (including whether the providing of the record is mandatory or voluntary, the principal purposes for maintaining the record, the routine uses for the record, and what effect his refusal to provide the record may have on him), and if the record is not required by statute or Executive Order to be provided by the individual, he agrees to provide the record. This exemption applies only to an investigatory record compiled by the Department for criminal law enforcement purposes in a system of records exempt under subsection (j)(2) of the Act to the extent that these requirements would prejudice the conduct of the investigation.

(2) The following systems of records are exempt from those provisions of the Act and this part listed in paragraph (b) (1) of this section.

(i) Pursuant to subsection (j)(2) of the Act:

(A) The Saint Elizabeths Hospital's Court-Ordered Forensic Investigatory Materials Files; and

(B) The Investigatory Material Compiled for Law Enforcement Purposes System, HHS.

(ii) Pursuant to subsection (k)(2) of the Act:

(A) The General Criminal Investigation Files, HHS/SSA;

(B) The Criminal Investigations File, HHS/SSA; and,

(C) The Program Integrity Case Files, HHS/SSA.

(iii) Pursuant to subsection (k)(4) of the Act:

(A) The Health and Demographic Surveys Conduct in Random Samples of the U.S. Population;

(B) The Health Manpower Inventories and Surveys;

(C) The Vital Statistics for Births, Deaths, Fetal Deaths, Marriages and Divorces Occurring in the U.S. during Each Year; and,

(D) The Maryland Psychiatric Case Register.

(E) The Health Resources Utilization Statistics, DHHS/OASH/NCHS.

(iv) Pursuant to subsection (k)(5) of the Act:

(A) The Investigatory Material Compiled for Security and Suitability Purposes System, HHS; and,

(B) The Suitability for Employment Records, HHS.

(v) Pursuant to subsections (j)(2), (k)(2), and (k)(5) of the Act:

(A) The Clinical Investigatory Records, HHS/FDA;

(B) The Regulated Industry Employee Enforcement Records, HHS/FDA;

(C) The Employee Conduct Investigative Records, HHS/FDA; and,

(D) The Service Contractor Employee Investigative Records, HHS/FDA.

(vi) Pursuant to subsection (k)(6) of the Act:

(A) The Personnel Research and Merit Promotion Test Records, HHS/SSA/OMA.

(c) *Notification of or access to records in exempt systems of records.* (1) Where a system of records is exempt as provided in paragraph (b) of this section, any individual may nonetheless request notification of or access to a record in that system. An individual shall make requests for notification of or access to a record in an exempt system of records in accordance with the procedures of §§ 5b.5 and 5b.6 of this part.

(2) An individual will be granted notification of or access to a record in an exempt system but only to the extent such notification or access would not reveal the identity of a source who furnished the record to the Department under an express promise, and prior to September 27, 1975 an implied promise, that his identity would be held in confidence, if:

(i) The record is in a system of records which is exempt under subsection (k)(2) of the Act and the individual has been, as a result of the maintenance of the record, denied a right, privilege, or benefit to which he would otherwise be eligible; or,

(ii) The record is in a system of records which is exempt under subsection (k)(5) of the Act.

(3) If an individual is not granted notification of or access to a record in a system of records exempt under subsections (k) (2) and (5) of the Act in accordance with this paragraph, he will be informed that the identity of a confidential source would be revealed if notification of or access to the record were granted to him.

(d) *Discretionary actions by the responsible Department official.* Unless disclosure of a record to the general public is otherwise prohibited by law, the responsible Department official may in his discretion grant notification of or access to a record in a system of records which is exempt under paragraph (b) of this section. Discretionary notification of or access to a record in accordance with this paragraph will not be a precedent for discretionary notification of or access to a similar or related record and will not obligate the responsible Department official to exercise his

discretion to grant notification of or access to any other record in a system of records which is exempt under paragraph (b) of this section.

[40 FR 47409, Oct. 8, 1975, as amended at 43 FR 40229, Sept. 11, 1978]

§ 5b.12 Contractors.

(a) All contracts entered into on or after September 27, 1975 which require a contractor to maintain or on behalf of the Department to maintain, a system of records to accomplish a Department function must contain a provision requiring the contractor to comply with the Act and this part.

(b) All unexpired contracts entered into prior to September 27, 1975 which require the contractor to maintain or on behalf of the Department to maintain, a system of records to accomplish a Department function will be amended as soon as practicable to include a provision requiring the contractor to comply with the Act and this Part. All such contracts must be so amended by July 1, 1976 unless for good cause the appeal authority identified in § 5b.8 of this part authorizes the continuation of the contract without amendment beyond that date.

(c) A contractor and any employee of such contractor shall be considered employees of the Department only for the purposes of the criminal penalties of the Act, 5 U.S.C. 552a(i), and the employee standards of conduct listed in Appendix A of this part where the contract contains a provision requiring the contractor to comply with the Act and this part.

(d) This section does not apply to systems of records maintained by a contractor as a result of his management discretion, *e.g.*, the contractor's personnel records.

§ 5b.13 Fees.

(a) *Policy.* Where applicable, fees for copying records will be charged in accordance with the schedule set forth in this section. Fees may only be charged where an individual requests that a copy be made of the record to which he is granted access. No fee may be charged for making a search of the system of records whether the search is manual, mechanical, or electronic. Where a copy of the record must be made in order to provide access to the record (*e.g.*, computer printout where no screen reading is available), the copy will be made available to the individual without cost. Where a medical record is made available to a representative designated by the individual or to a physician or health professional designated by a parent or guardian under § 5b.6 of this Part, no fee will be charged.

(b) *Fee schedule.* The fee schedule for the Department is as follows:

(1) Copying of records susceptible to photocopying—$.10 per page.

(2) Copying records not susceptible to photocopying (*e.g.*, punch cards or magnetic tapes)—at actual cost to be determined on a case-by-case basis.

(3) No charge will be made if the total amount of copying does not exceed $25.

Appendix A—Employee Standards ofConduct

(a) *General.* All employees are required to be aware of their responsibilities under the Privacy Act of 1974, 5 U.S.C. 552a. Regulations implementing the Act are set forth in 45 CFR 5b. Instruction on the requirements of the Act and regulation shall be provided to all new employees of the Department. In addition, supervisors shall be responsible for assuring that employees who are working with systems of records or who undertake new duties which require the use of systems of records are informed of their responsibilities. Supervisors shall also be responsible for assuring that all employees who work with such systems of records are periodically reminded of the requirements of the Act and are advised of any new provisions or interpretations of the Act.

(b) *Penalties.* (1) All employees must guard against improper disclosure of records which are governed by the Act. Because of the serious consequences of improper invasions of personal privacy, employees may be subject to disciplinary action and criminal prosecution for knowing and willful violations of the Act and regulation. In addition, employees may also be subject to disciplinary action for unknowing or unwillful violations, where the employee had notice of the provisions of the Act and regulations and failed to inform himself sufficiently or to conduct himself in accordance with the requirements to avoid violations.

(2) The Department may be subjected to civil liability for the following actions undertaken by its employees:

(a) Making a determination under the Act and section 5b.7 and 5b.8 of the regulation not to amend an individual's record in accordance with his request, or failing to make such review in conformity with those provisions;

(b) Refusing to comply with an individual's request for notification of or access to a record pertaining to him;

(c) Failing to maintain any record pertaining to any individual with such accuracy, relevance, timeliness, and completeness as is necessary to assure fairness in any determination relating to the qualifications, character, rights, or opportunities of, or benefits to the individual that may be made on the basis of such a record, and consequently a determination is made which is adverse to the individual; or

(d) Failing to comply with any other provision of the Act or any rule promulgated thereunder, in such a way as to have an adverse effect on an individual.

(3) "An employee may be personally subject to criminal liability as set forth below and in 5 U.S.C. 552a (i):

(a) Any officer or employee of an agency, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by the Act or by rules or regulations established thereunder, and who, knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000."

(b) "Any officer or employee of any agency who willfully maintains a system of records without meeting the notice requirements [of the Act] shall be guilty of a misdemeanor and fined not more than $5,000."

(c) *Rules Governing Employees Not Working With Systems of Records.* Employees whose duties do not involve working with systems of records will not generally disclose to any one, without specific authorization from their supervisors, records pertaining to employees or other individuals which by reason of their official duties are available to them. Notwithstanding the above, the following records concerning Federal employees are a matter of public record and no further authorization is necessary for disclosure:

(1) Name and title of individual.

(2) Grade classification or equivalent and annual rate of salary.

(3) Position description.

(4) Location of duty station, including room number and telephone number.

In addition, employees shall disclose records which are listed in the Department's Freedom of Information Regulation as being available to the public. Requests for other records will be referred to the responsible Department official. This does not preclude employees from discussing matters which are known to them personally, and without resort to a record, to official investigators of Federal agencies for official purposes such as suitability checks, Equal Employment Opportunity investigations, adverse action proceedings, grievance proceedings, etc.

(d) *Rules governing employees whose duties require use or reference to systems of records.* Employees whose official duties require that they refer to, maintain, service, or otherwise deal with systems of records (hereinafter referred to as "Systems Employees") are governed by the general provisions. In addition, extra precautions are required and systems employees are held to higher standards of conduct.

(1) Systems Employees shall:

(a) Be informed with respect to their responsibilities under the Act;

(b) Be alert to possible misuses of the system and report to their supervisors any potential or actual use of the system which they believe is not in compliance with the Act and regulation;

(c) Make a disclosure of records within the Department only to an employee who has a legitimate need to know the record in the course of his official duties;

(d) Maintain records as accurately as practicable.

(e) Consult with a supervisor prior to taking any action where they are in doubt whether such action is in conformance with the Act and regulation.

(2) Systems Employees shall not:

(a) Disclose in any form records from a system of records except (1) with the consent or at the request of the subject individual; or (2) where its disclosure is permitted under § 5b.9 of the regulation.

(b) Permit unauthorized individuals to be present in controlled areas. Any unauthorized individuals observed in controlled areas shall be reported to a supervisor or to the guard force.

(c) Knowingly or willfully take action which might subject the Department to civil liability.

(d) Make any arrangements for the design development, or operation of any system of records without making reasonable effort to provide that the system can be maintained in accordance with the Act and regulation.

(e) *Contracting officers.* In addition to any applicable provisions set forth above, those employees whose official duties involve entering into contracts on behalf of the Department shall also be governed by the following provisions:

(1) *Contracts for design, or development of systems and equipment.* No contract for the design or development of a system of records, or for equipment to store, service or maintain a system of records shall be entered into unless the contracting officer has made reasonable effort to ensure that the product to be purchased is capable of being used without violation of the Act or regulation. Special attention shall be given to provision of physical safeguards.

(2) *Contracts for the operation of systems and equipment.* No contract for the design or development of a system of whom he feels appropriate, of all proposed contracts providing for the operation of systems of records shall be made prior to execution of the contracts to determine whether operation of the system of records is for the purpose of accomplishing a Department function. If a determination is made that the operation of the system is to accomplish a Department function, the contracting officer shall be responsible for including in the contract appropriate provisions to apply the provisions of the Act and regulation to the system, including prohibitions against improper release by the contractor, his employees, agents, or subcontractors.

(3) *Other service contracts.* Contracting officers entering into general service contracts shall be responsible for determining the appropriateness of including provisions in the contract to prevent potential misuse (inadvertent or otherwise) by employees, agents, or subcontractors of the contractor.

(f) *Rules Governing Responsible Department Officials.* In addition to the requirements for Systems Employees, responsible Department officials shall:

(1) respond to all requests for notification of or access, disclosure, or amendment of records in a timely fashion in accordance with the Act and regulation;

(2) make any amendment of records accurately and in a timely fashion;

(3) inform all persons whom the accounting records show have received copies of the record prior to the amendments of the correction; and

(4) associate any statement of disagreement with the disputed record, and

(a) transmit a copy of the statement to all persons whom the accounting records show have received a copy of the disputed record, and

(b) transmit that statement with any future disclosure.

Appendix B—Routine Uses Applicable to More Than One System of Records Maintained by HHS

(1) In the event that a system of records maintained by this agency or carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(2) Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange, Inc.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(4) A record from this system of records may be disclosed as a "routine use" to a federal, state or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that a system of records maintained by this agency to carry out its function indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether state or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(10)–(99) [Reserved]

(100) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual.

(101) To individuals and organizations, deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research.

(102) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review.

(103) Disclosures in the course of employee discipline or competence determination proceedings.

Appendix C—Delegations of Authority [Reserved]

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